

<b>SOLICITATION, OFFER AND AWARD</b>		1. This Contract is a Rated Order Under DPAS (15 CFR 350)		Rating	Page 1 of pages 63
2. Contract No.	3. Solicitation No. WC133F-04-RP-0031SKC		4. Solicitation Type <input type="checkbox"/> Sealed Bid (IFB) <input checked="" type="checkbox"/> Negotiated (RFP)	5. Date Issued 08/10/2004	6. Requisition/Purchase No. NFFN5010-4-00001
7. Issued By U.S. DEPT. OF COMMERCE/NOAA ACQUISITIONS MANAGEMENT DIVISION 601 EAST 12TH STREET ROOM 1756 KANSAS CITY, MO 64106			Code AJ830023		8. Address Offer To (If other than item 7)  Code

NOTE: In sealed bid solicitations "offer" and "offeror" mean "bid" and "bidder".

### SOLICITATION

9. Sealed offers in original and 3 copies for furnishing the supplies or services in the Schedule will be received at the place specified in Item 8, or if handcarried, in the depository located in specified in block 7 until 12:00 PM (hour) local time Sep 10, 2004 (date).

CAUTION – LATE Submissions, Modifications, and Withdrawals: See Section L, Provision No. 52.214-7 or 52.215-1. All offers are subject to all terms and conditions contained in this solicitation.

10. For Information Call:	A. Name Sharon K. Clisso skc	B. Telephone No. (include area code) (NO COLLECT CALLS) 816-426-7267, 231
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### OFFER (Must be fully completed by offeror)

NOTE: Item 12 does not apply if the solicitation includes the provisions at 52.214-16, Minimum Bid Acceptance Period.

12. In compliance with the above, the undersigned agrees, if this offer is accepted within \_\_\_\_\_ calendar days (60 calendar days unless a different period is inserted by the offeror) from the date for receipt of offers specified above, to furnish any or all items upon which prices are offered at the price set opposite each item, delivered at the designated point(s) within the time specified in the schedule.

13. Discount for Prompt Payment (See Section I, Clause No. 52.232-8)	10 Calendar Days %	20 Calendar Days %	30 Calendar Days %	_____ Calendar Days %
14. Acknowledgment of Amendments <i>The offeror acknowledges receipt of amendments to the SOLICITATION for offerors and related documents numbered and dated.</i>	Amendment No.	Date	Amendment No.	Date

15A. Name and Address of Offeror	Code	Facility	16. Name and Title of Person Authorized to Sign Offer (Type or print)
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15B. Telephone No. (Include area code)	15C. Check if Remittance Address is difference from above. Enter such address in Schedule.	17. Signature	18. Offer Date
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### AWARD (To be completed by Government)

19. Accepted as to Items Numbered	20. Amount	21. Accounting and Appropriation	
22. Authority for Using Other Than Full and Open Competition: <input type="checkbox"/> 10 U.S.C. 2304 (c)( ) <input type="checkbox"/> 41 U.S.C. 253 (c)( )		23. Submit Invoices to Address Shown in (4 copies unless otherwise specified)	Item
24. Administered By (If other than Item 7) Code		Payment Will be Made By Code	
26. Name of Contracting Officer (Type or print)		27. United States of America (Signature of Contracting Officer)	28. Award Date

IMPORTANT – Award will be made on this form, or on Standard Form 26, or by other authorized official written notice.

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**Supplies or Services and Prices/Costs**

Item No.	Supplies/Services	Quantity	Unit	Unit Price	Amount
0001	Collect Socioeconomic Data for the South Atlantic Shrimp Fishery per Statement of Work.	1	JO		

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### B.1 1352.216-70 CONTRACT TYPE (MARCH 2000)

This is a Firm Fixed Price type contract for services. It consists of a base period from date of award to 13 months after award.

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### C.1 1352.211-70 STATEMENT OF WORK/SPECIFICATIONS (MARCH 2000)

The Contractor shall furnish the necessary personnel, material, equipment, services and facilities (except as otherwise specified):

- X     to perform the following the Statement of Work/Specifications
- to perform the Statement of Work/Specifications referenced as an attachment in Section J.

#### Collection of Socioeconomic Data for the South Atlantic Shrimp Fishery

##### Statement of Work

##### Purpose and Need

Costs and returns data for the entire South Atlantic shrimp fishery have never been collected by the National Marine Fisheries Service (NMFS). A few attempts have been made by other agencies and academic researchers to collect such data in the past decade, but they have only covered a certain portion of the fishery (e.g., a particular species, such as rock shrimp, or a particular state, such as South Carolina). Current economic and social data is needed for the South Atlantic shrimp fishery as a whole in order to accurately assess the positive and/or negative impacts of federal rules and regulations. Such assessments are mandated under Executive Order 12866, the Regulatory Flexibility Act, Magnuson-Stevens/Sustainable Fisheries Acts (including the National Standards), the Endangered Species Act, and NEPA among others. If accurate socioeconomic data is not available, then the social and economic assessments of management alternatives will be invalid, thereby potentially leading the Council to make poor management decisions. In various lawsuits involving the shrimp industry and NMFS, industry has severely criticized the accuracy of previous social and economic analyses related to particular Council and NMFS actions. Collection of cost and earnings data on a recurring basis is needed to satisfy these various mandates and facilitate good management decisions.

According to the Small Business Administration (SBA), fluctuations in short term profitability are important in determining whether or not small businesses are forced to exit an industry. Gross revenues and costs can vary within a year, and even within or across seasons/trips, as a result of changes in a number of different factors, including fishery management regulations (e.g. gear modifications, time/area closures, etc.), fluctuations in abundance (due to changes in various environmental factors), and market conditions (such as fuel or seafood prices). In the latter case, such fluctuations may be completely due to factors outside the domestic industry's control (e.g. downturns in macroeconomic conditions, increases in imports, changes in other countries' fuel production policies, etc.).

Based on limited information, it appears that economic and social conditions in the Southeast shrimp fisheries have deteriorated considerably in the past two years. The causes of this deterioration are subject to speculation, particularly with respect to which factors are most responsible. Congress has recognized the deterioration in the industry's economic condition, as indicated by its approval of disaster relief funds for Southeast shrimp fishermen in 2003. The Governor of Florida obtained additional financial assistance for Florida's shrimp fishermen as a result of changing weather conditions that have allegedly also had an adverse impact on those fishermen. Through the USDA's Trade Assistance Adjustment (TAA) Program, which applies to various groups of farmers and food producers who have been harmed by significantly decreased prices as a result import competition, some shrimp fishermen have received additional financial assistance. Most recently, an industry group known as the Southern Shrimp Alliance (SSA) filed an anti-dumping petition with the Department of Commerce claiming that several countries have

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been "dumping" shrimp into the U.S. market, thereby artificially depressing domestic prices. Whether their petition will be successful and the assistance provided to this point will be sufficient to significantly improve the economic and social condition of the fishermen, their families, and their business operations is currently unknown, but the likelihood that additional measures will be needed appears high.

Furthermore, NMFS and the South Atlantic Fisheries Management Council (SAFMC) have indicated a desire to explore various types of effort to control programs, including limited entry, permit/vessel buybacks, and individual quotas in the future. The Council established a control date of December 10, 2003 for entry into the EEZ component of the fishery. An EEZ permit requirement for harvesting penaeid shrimp is currently being considered under Amendment 6 to the South Atlantic Shrimp Fishery Management Plan. If current and accurate socioeconomic data is not available, then the social and economic assessments of management alternatives will likewise be inaccurate, thereby potentially leading federal and state government officials to make poor decisions.

An outreach and education program regarding a potential socioeconomic data collection program for the offshore Gulf shrimp fishery was conducted in 2002. Based on the results of those efforts, NMFS developed a program to collect socioeconomic data from offshore shrimp fishermen in the Gulf of Mexico in 2003. The first phase of this program was implemented in Texas during the latter half of 2003. The program was extended to the remainder of the Gulf in 2004.

### **Expansion of the Shrimp Socioeconomic Data Collection Program to the South Atlantic**

An intense, high quality outreach and education program for fishermen is necessary prior to implementing any economic data collection effort. In general, the outreach and education program in the South Atlantic will mimic the approach used in the Gulf shrimp fishery. The program will primarily consist of informal one-on-one or small group meetings between the SERO economist, contractor(s), and shrimp fishermen in ports/communities deemed to be of importance to the fishery. Meetings will be held in different locations across the South Atlantic region. Specifically, the contractor will ensure that meetings are held with at least 90 participants in the South Atlantic shrimp fishery, with approximately an equal percentage of those participants coming from each of the four states (i.e. 20-25 shrimp fishermen per state). In each state, at least some of these fishery participants should work out of or reside in each of the major ports/communities listed in Table 1. Attendees should be key leaders and/or representative of South Atlantic shrimp fishermen in the major ports/communities. For the communities in South Florida (i.e. Miami and Opa Locka), the contractor will likely require personnel fluent in Spanish, as a significant portion of the shrimp fishermen in that area are of Hispanic decent and English may not be their primary language.

The primary purposes of these meetings will be to: 1) discuss the importance of collecting accurate socioeconomic information for the fishery, 2) discuss the pros and cons of alternative means to collect this information, and 3) solicit the fishermen's cooperation with the program upon its implementation. An additional purpose is to provide the NMFS shrimp economist with an opportunity to better understand the nature of and differences between shrimping operations in the South Atlantic shrimp fishery. It is anticipated that the outreach program will require approximately 20 "meeting" days plus travel time.

Upon completion of the outreach program, the contractor will provide a final report outlining the work that was completed, the methods that were used, and any important insights/outcomes resulting from the outreach program. The report should follow the structure of the Gulf program's report (see attached).

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Table 1. Ports/Communities by State for Outreach and Education Program

East Florida	Georgia	South Carolina	North Carolina
Mayport	Brunswick	Georgetown	Beaufort
Cape Canaveral	Darien	McClellanville	Engelhard
Fernandina Beach	Richmond Hill	St. Helena Island	Oriental
Jacksonville	Savannah	Mt. Pleasant	Sneads Ferry
Titusville	St. Simon's Island	Hilton Head	Swanquarter
Miami	Townsend	Frogmore	Wanchese
Opa Locka	Tybee Island	Port Royal	Atlantic
	Valona	Wadmalaw Island	Davis
			Supply
			Vandemere

Similar work has already been completed for the economic data collection effort being implemented for the South Atlantic snapper-grouper and mackerel fisheries in 2001, which should serve as guidance to the contracting party. The NMFS/SERO economist will provide the necessary background materials for the meetings to be held with the commercial shrimp fishermen. Activities associated with the outreach program's tasks are expected to commence in September 2004 and be completed by December 2004 so that data collection activities can commence in January 2005.

OMB approval is needed prior to implementing any new data collection program. The approval process typically takes approximately six months. Due to this time lag, it is critical that the outreach/education program begin as soon as possible upon award of the contract. NMFS has received a "blanket" approval from OMB to collect economic data from commercial via voluntary programs across all Regions, which removes the need for and time associated with filing a Federal Register Notice.

At this time, trip tickets have been implemented in each of the South Atlantic states. These trip ticket programs require dealer reports that track the activities and landings of all commercial fishing craft. However, South Carolina's program is in its infancy and 2004 will be the first year of complete data. These data will likely not be available for research purposes until mid-2005 and, thus, not on hand for the currently proposed work. Further, as of 2003, Florida's trip ticket program is still experiencing problems with respect to obtaining a complete accounting of all the vessels landing shrimp in that state. In South Carolina, additional information regarding the identities of active commercial shrimp vessels will likely be needed and should be obtainable as a result of information collection efforts associated with the TAA and disaster relief programs. In combination with vessel/boat characteristic data from the Coast Guard database and state shrimp license and boat registration databases, the trip ticket landings data will serve as the primary source of information for determining the universe of participants in the South Atlantic shrimp fishery. A stratified, random sample of shrimp fishing craft will be selected from this universe.

In the Gulf of Mexico program's initial development, three strata were selected: vessel gross tonnage (to represent vessel size), primary port/county of landing, and average price per pound for vessels with similar levels of landings. These factors were considered to be the most important with respect to ensuring that the fleet and all components thereof were accurately and completely represented within the data collection program. With the inclusion of state registered boats in the universe, it was determined that tonnage was not an appropriate stratum since, unlike the Coast Guard, the states do not consistently collect such information. However, the states do collect information on the fishing craft's length and, thus, length was used to



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represent fishing craft size in place of tonnage. Length has been used as a stratum in many other commercial fishing data collection programs.

While these strata may be viable options in the South Atlantic fishery, at least for certain states, other options may be preferable. For example, in east Florida, where a significant bait shrimp fishery exists, the purpose of harvest may be an important factor (i.e. shrimp may be harvested for either food or bait purposes). Further, non-trawl gear is sometimes used by shrimp vessels in the South Atlantic, particularly in the inshore component of North Carolina's fishery, though also in Georgia and Florida. Thus, gear may be an appropriate stratum. Particularly in Florida, another potential option is target species. In addition to the penaeid species (white, pink, and brown), rock shrimp is a primary target species for shrimp vessels based in east Florida. Therefore, because data availability and the nature of the fisheries differ across the states, the choice of strata will also likely differ from state to state. As a result, vessels from each state will be treated as an independent population from which to be sampled. The contractor will determine the most appropriate strata for each state, subject to the NMFS shrimp economist's input and approval.

The purpose of the currently proposed work is to expand the socioeconomic data collection program for shrimp fishing craft in the Gulf of Mexico to those that primarily land their shrimp in the South Atlantic (i.e. east Florida, Georgia, South Carolina, and North Carolina). Various methods can be used to collect cost and earnings data on a continuous basis. However, research has shown that, in general, personal interviews are more successful in collecting high quality data compared to phone or mail interviews. The case for personal interviews is particularly strong when a new data collection program is being implemented. Personal interviews allow for direct, face-to-face dialogue, which provides the interviewer and individual being interviewed a much better opportunity for clear and consistent communication, not only within an interview but also across interviews. Such dialogue not only enhances understanding and comprehension, but also is likely to lead to improvements in program design and the building of rapport with industry participants over time. The in-person approach has also been shown to have a strong positive effect on response rates. The latter effect is particularly important in the case of a voluntary data collection, which this program is structured to be at this time. After the survey has been administered in each of the South Atlantic states, the possibility exists for future interviews to be conducted via the phone, or even the internet, if the industry participants deem such an approach acceptable and, in the latter case, NMFS develops the capability to create and manage such a program. While the phone interview and internet methods would likely reduce program costs, acceptability by industry must be ensured in order to maintain the necessary level of participation. The contractor's will be required to assess the industry's willingness to participate in the program should such methods be used in the future. Similarly, the contractor should also determine whether shrimp fishermen are amenable to the use of electronic equipment (i.e. laptop computers) during the personal interview process. Findings and recommendations on both issues should be contained in the contractor's final report to NMFS regarding the program's implementation throughout the Gulf.

Due to the previously noted data problems, and fluctuations in participation from one year to the next, the size of the South Atlantic shrimp fleet is not known with certainty. Further, many shrimp fishing craft are migratory in nature. That is, as seasonal abundance changes throughout the year for the primary species (brown, white, pink, and rock shrimp), many shrimp fishing craft will move in response to those changes while others remain "close to home." But even migratory vessels have a primary port or "home base" from which they typically operate, and this factor will be used to assign vessels to a particular state and thus population. Currently available data indicates that there are between 1900 and 2200 fishing craft operating in the South Atlantic commercial shrimp fishery. Based on previous surveys, and given the need to

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balance coverage with cost, a sample size of 260 fishing craft has been selected to ensure adequate and representative coverage of the fleet and each segment thereof. The NMFS shrimp economist will provide the contractor with the universe of identified shrimp fishing craft, as well as any available descriptive data pertaining to their operations. Appropriate contact information will also be provided, though such information will also be verified and supplemented as part of the survey. The distribution of vessels across states and strata will be determined as part of the sampling design process. The contractor will stratify the universe of fishing craft according to the agreed upon strata. Upon completion of this task, the contractor will select the final sample and provide that sample to the NMFS economist. In selecting the sample, the contractor must take into account the possibility of non-response. That is, the sample size of 260 shrimp fishing craft represents the necessary number of respondents. Since non-response is possible, the selected sample will need to be larger than 260 vessels. Further, the contractor must develop means to test and correct for the presence of survey response bias so that statistics based on the collected data will be as accurate and representative as possible. On the other hand, if non-selected vessel owners wish to participate in the program (i.e. "volunteers"), such participation will be allowed in order to enhance coverage, provide additional data for comparison purposes, and promote industry cooperation with the program.

Assuming OMB's approval by December 2004, the survey will be fielded between January and June 2005. Although there is some variability in the seasonal nature of the fishery across species and areas, in general, the peak fishing times occur between June and November. Therefore, the months of January through June should be optimal with respect to fielding the survey.

Due to the sometimes highly detailed nature of the data being collected, a copy of the survey instrument will be provided to all participants in advance of their respective interviews so that vessel owners/operators can compile the necessary information and provide accurate responses. The contractor will be responsible for setting up interview times with the selected fishermen at a time and place that is acceptable to the fishermen. The contractor will ensure that the surveys are provided far enough in advance so that the fishermen have enough time to compile the necessary paperwork and information.

The contractor will work with the NMFS economist to make any necessary changes to the original survey instrument and database structure developed for the program in the Gulf. The contractor will ensure that the data collected under this program can be easily and expeditiously linked with data collected under the Gulf program. If permit numbers are assigned to federal shrimp permits before the program's implementation, space will be added to the survey form to record this information, and the database will be appropriately amended. The contractor is responsible for proper translation of changes in the survey form from English into Spanish and completion of appropriate changes in the database structure. As noted in the discussion of the outreach and education program, it is likely that the contractor will require surveyors who are fluent in Spanish when conducting interviews in South Florida (i.e. Miami-Dade county). Any changes to the survey instrument and database structure must be approved by NMFS and noted in the Paperwork Reduction Act (PRA) package, which the contractor will be responsible for compiling in order to obtain OMB approval for the data collection program's expansion into the South Atlantic. Among other required items, this package must include the sampling design and survey instrument. Upon completion of the package, NMFS will be responsible for submitting it to OMB. The contractor will make any changes to the survey instrument and sampling design required as a result of OMB's review.

Prior to the survey's implementation in the South Atlantic, all surveyors will be required to attend at least one training session, including any surveyors who may have conducted interviews under the Gulf of Mexico program.

For the latter group, this meeting will provide an opportunity to refresh their

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initial training, and share their experiences and insights with new surveyors. The NMFS shrimp economist will have the prime responsibility for conducting the training session, though organization of the meeting will be the responsibility of the contractor. The dates and location(s) of any training sessions will be at NMFS' discretion. The training session's purpose is to educate the surveyors about the need for the data collected under the program, the rationale for each of the questions being asked on the survey, and how to properly conduct personal interviews whose purpose is to collect socioeconomic data. Furthermore, the contractor must obtain NMFS' express permission with respect to procuring any and all subcontractors whose purpose is to work on the South Atlantic shrimp socioeconomic data collection program. Prior to the awarding of this contract, the contractor will provide NMFS with a list of the subcontractors' identities and tasks to which they have or will be assigned. Changes to this list of subcontractors and their assigned work tasks on this program shall not be made without NMFS' express permission.

### CONTRACTOR TASKS

Activities associated with the following tasks are expected to commence in September 2004 and be completed no later than August 2005.

#### Task I

The contractor will conduct an intense, high quality outreach and education program for South Atlantic shrimpers regarding the socioeconomic data collection program. In general, the outreach and education program in the South Atlantic should mimic the approach used for the Gulf shrimp fishery. The program will primarily consist of informal one-on-one or small group meetings between the SERO economist, contractor(s), and shrimp fishermen in ports/communities deemed to be of importance to the fishery. Specifically, the contractor will ensure that meetings are held with at least 90 participants in the South Atlantic shrimp fishery, with approximately an equal percentage of those participants (i.e. 20-25 shrimp fishermen per state) coming from each of the four South Atlantic states (east Florida, Georgia, South Carolina, and North Carolina). In each state, at least some of these fishery participants should work out of or reside in each of the ports/communities listed in Table 1. Attendees should be key leaders and/or representative of South Atlantic shrimp fishermen in the major ports/communities. For the communities in South Florida (i.e. Miami and Opa Locka), the contractor will likely require personnel fluent in Spanish, as a significant portion of the shrimp fishermen in that area are of Hispanic decent and English may not be their primary language.

The primary purposes of these meetings will be to: 1) discuss the importance of collecting accurate socioeconomic information for the fishery, 2) discuss the pros and cons of alternative means to collect this information, and 3) solicit the fishermen's cooperation with the program upon its implementation. An additional purpose of these meetings is to provide the NMFS shrimp economist with an opportunity to better understand the nature of and differences between shrimping operations in the South Atlantic shrimp fishery. It is anticipated that the outreach program will require approximately 20 "meeting" days plus travel time. The outreach work should be completed no later than December 17, 2004.

Upon completion of the outreach program, the contractor will provide a final report outlining the nature of the completed work, the methods that were used, and any important insights/outcomes resulting from the outreach program. The report should generally follow the structure of the Gulf program's report (see attached), and should be provided no later than 60 days after completion of the outreach work.

## Task II

The contractor should make every effort to use interviewers who are experienced in fielding socioeconomic surveys, particularly with commercial fishermen, and/or individuals who are directly knowledgeable of shrimp vessel financial operations. If the contractor(s) is/are not the actual interviewer(s), then the contractor shall hire and supervise personable and qualified interviewers, the selection and assignment of which must be explicitly approved by NMFS. Interviewers should be knowledgeable about the shrimp fishery and fishing techniques prior to conducting the interviews. The use of graduate students who have not previously conducted socioeconomic surveys with the commercial fishing industry will be strongly discouraged. The contractor will provide NMFS with a list of the subcontractors' identities and tasks to which they will be assigned as part of their proposal. Changes to this list of subcontractors and/or their assigned work tasks within this program shall not be made without NMFS' express permission.

The NMFS economist will provide the necessary training, though the contractor will be responsible for organizing any and all training meetings. Dates and locations of these training meetings will be selected by NMFS. Subcontractors and employees will read and take into account all information contained in the Gulf and South Atlantic Fisheries Foundation's report on the outreach and education program, as well as any and all reports regarding the socioeconomic data collection program's implementation in the Gulf of Mexico. The contractor will also ensure that these individuals read, are thoroughly acquainted with, and abide by the protocols outlined in the program's survey training manual. From time to time, NMFS may make changes and updates to the training manual. Surveyors will be expected to adhere to all protocols established within the training manual. The ultimate success of the survey depends on the ability of interviewers to establish rapport with fishermen, to clearly explain the intent of each question, and to accurately interpret and record the answers given by fishermen. Therefore, all surveyors will be required to attend at least one training session, including any surveyors who may have conducted interviews in the Gulf of Mexico. Under no circumstances shall the contractor use a surveyor that has not fully participated in one of these training sessions. Given the timing for the outreach component of this program, the need to conduct interviews between January and June 2005, and the desire to conduct training immediately prior to the initiation of the interview phase of the work, interviewer training should occur in December or the first half of January. In order to promote efficiency and consistency, NMFS strongly prefers that no more than two interviewer training sessions be held.

## Task III

Currently available data indicates that there are between 1900 and 2200 fishing craft operating in the South Atlantic commercial shrimp fishery. Based on previous surveys, and given the need to balance coverage with cost, a sample size of 260 fishing craft has been selected to ensure adequate and representative coverage of the fleet and each segment thereof. The NMFS shrimp economist will provide the contractor with the universe of identified shrimp fishing craft, as well as any available descriptive data pertaining to their operations. Appropriate contact information will also be provided, though such information will also be verified and supplemented as part of the survey. The distribution of vessels across states and strata will be determined as part of the sampling design process. The contractor will stratify the universe of fishing craft according to the agreed upon strata. Upon completion of this task, the contractor will select the final sample and provide that sample to the NMFS economist. In selecting the sample, the contractor must take into account the possibility of non-response. That is, the sample size of 260 shrimp fishing craft represents the necessary number of respondents/vessel interviews that must

## SECTION C

be completed by the contractor. Since non-response is possible, the selected sample will need to be larger than 260 vessels. Further, the contractor must develop means to test and correct for the presence of survey response bias so that statistics based on the collected data will be as accurate and representative as possible. On the other hand, if non-selected vessel owners wish to participate in the program (i.e. "volunteers"), such participation will be allowed in order to enhance coverage, provide additional data for comparison purposes, and promote industry cooperation with the program. The NMFS economist will notify the contractor of non-selected vessel owners who wish to participate in the program. Data collected from non-selected owners must be identified as such within the database. The contractor will allow for such participation in order to enhance coverage, provide additional data for comparison purposes, and promote industry cooperation with the program.

### Task IV

The contractor shall work with the NMFS shrimp economist to make any necessary changes to the survey instrument used in the Gulf of Mexico with respect to its wording, organization, and content for the purpose of its implementation in the South Atlantic. The contractor will ensure that the data collected under the South Atlantic program can be easily and expeditiously linked with data collected under the Gulf shrimp socioeconomic data collection program and any of the other data collection programs previously noted in this statement of work. If permit numbers are assigned to federal shrimp permits before the program's expansion in the South Atlantic, space will be added to the survey form to record this information, and the database will be appropriately amended. Such changes also include those needed to the translated (i.e. Spanish) versions of the survey instrument. The contractor will be responsible for making all these changes, subject to NMFS' review and approval. Knowledge and experience with models, techniques and data required to perform economic analyses of regulatory alternatives are typically required to make useful revisions to the draft questionnaire. The final version of the questionnaire should be designed to facilitate data entry into computer files.

The Office of Management and Budget (OMB) must approve the final survey instrument. Upon completion of the final survey instrument, NMFS will prepare the supporting documents necessary to obtain OMB clearance for the survey program's expansion into the South Atlantic shrimp fishery and submit the PRA package to OMB for its approval. The contractor will make any changes to the survey instrument and sampling design required as a result of OMB's review. The length of time from submission of the OMB package to receipt of OMB approval is typically three to four months. Full payment under this contract is contingent on receiving OMB approval. Subject to OMB approval, the NMFS shrimp economist has final approval over any changes to the survey instrument, its content, and structure and the sampling design as it existed at the time of the program's implementation in the Gulf of Mexico.

**SECTION C**  
**DESCRIPTION/SPECIFICATIONS/WORK STATEMENT**

**Task V**

Based on the stratified, random sample developed under Task III, the contractor shall contact vessel owners and operators, schedule interviews, and then use the OMB approved survey instrument (Task IV) to conduct at least 260 personal interviews with shrimp fishermen who reside in or whose vessels operate out of ports in east Florida, Georgia, South Carolina, and North Carolina to collect the desired information. NMFS will provide the identities and appropriate contact information for the selected sample of shrimp fishing craft, though such information will also be verified and supplemented as part of the survey. Interviewers will contact and screen fishermen and schedule interviews at times and places convenient for fishermen. Interviews should be scheduled to minimize potential conflicts with normal business operations. Due to the sometimes highly detailed nature of the data being collected, the contractor will provide a copy of the survey instrument to all survey participants in advance of their respective interviews so that vessel owners/operators can compile the necessary information and provide accurate responses. Provision of the survey in advance should minimize bias due to recall error and allow for verification of any data compiled by NMFS or the contractor prior to the interview. The survey should be sent far enough in advance to give the respondents sufficient time to compile the necessary paperwork and information. All interviews should be conducted sometime between January and June 2005.

The contractor shall work with the NMFS economist to ensure the highest level of participation in the survey by clearly stating the goals of the study, by publicizing the survey, by using personable and qualified interviewers, and by enlisting the cooperation and assistance of local fish dealers, fishermen's associations, NMFS port agents, and marine extension specialists in each area. With respect to publicizing the program, the contractor will develop appropriate methods and materials for advertising the program, its purpose, and the need for industry cooperation. It is advised that the contractor make use of materials and methods used in conjunction with the program's implementation in the Gulf of Mexico. NMFS shall have the right to review and approve all such methods and materials. The contractor will make use of all reasonable opportunities (e.g. Council meetings, NMFS meetings, industry meetings, etc.) to solicit industry's cooperation with the program.

All data to be collected are considered confidential and shall be handled in accordance with NOAA Administrative Order 216-100, Confidential Fishery Statistics. The Order will be furnished to the contractor. All project personnel having access to confidential data collected under this project or any other NMFS program must sign the appropriate confidential data disclosure forms. Respondents shall be assured that only group averages or group totals will be presented in any reports, publications, or oral presentations of the study's results.<sup>1</sup> Participation in the program is voluntary. However, it is important for interviewers to stress that, since the program only covers a sample rather than a census of vessels, refusal to participate could introduce bias into the data set.

**Task VI**

The contractor shall enter the data into electronic files that can be read and manipulated by the NMFS shrimp economist using IBM-compatible personal computers. It is preferred that the data be coded in Access, Dbase, Excel, SAS, or SYSTAT/SPSS format, although other formats are permissible provided that the NMFS shrimp economist has access to software capable of reading the data. The contractor will develop appropriate quality assurance/quality control procedures for proper and expeditious editing/proofing of the survey data. The contractor will use any and all variable coding systems that have already been established

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<sup>1</sup> "Group" in this case refers to at least three (3) vessels or business entities, though a higher number may be necessary to protect individual identities.

**SECTION C**  
**DESCRIPTION/SPECIFICATIONS/WORK STATEMENT**

by NMFS. In the event that a coding system has not been established for particular data collected under this program, the contractor will have discretion to develop its own coding system, subject to the NMFS' approval.

**Task VII**

The contractor will provide progress reports after each three (3) month time period, beginning on the effective date of this contract. Two copies of the progress report shall be provided and must address work completed during the period, work forecasted for the following period, names, title, and number of man-hours of each of the Contractor's professional personnel assigned to the contract, including officials of the Contractor, and such additional information, findings and recommendations as may assist the NMFS economist in evaluating progress under this contract. The first progress report shall include the detailed work outline of the study and the Contractor's planned phasing of his work by reporting period. Each progress report shall be accompanied by a copy of the survey database that exists at the time of submission. Upon NMFS' review of the database, the contractor will be responsible for correcting any and all errors contained therein as identified by NMFS. These corrections will be made prior to the submission of the following progress report. Invoices shall be submitted with each quarterly progress report. Invoices should provide sufficient detail of all expenditures so that NMFS is able to determine that funds are being used efficiently and appropriately. Invoices will not be accepted without an accompanying progress report and the requisite components thereof.

Ten months after the effective data of this contract, the contractor shall prepare a draft final report that describes all training that took place, the final stratified, random sampling design, and changes to the original survey instrument, sampling design, database structure, and/or interview procedures and submit the draft to the COTR. The rationale for any approved changes should be described, and a copy of the final survey form should be included. Problems that were encountered during the interview phase and the resulting solutions should be documented. The database file structure, variable formats and definitions of variable codes should be completely described. A draft of the final survey database shall be included with the draft report for review purposes. Upon NMFS' review of the database, the contractor will be responsible for correcting any and all errors contained therein as identified by NMFS. These corrections will be made prior to final payment under this contract. Recommended changes in the data collection program's design should also be presented and discussed, including the sampling design and interview/survey methodologies. A recapitulation of man-hours expended by each of the Contractor's professional employees, including officials of the Contractor, and a brief summary of the report including short statements regarding the program's objectives, scope, methodology, information obtained, and conclusions must be provided. The NMFS shrimp economist will review the draft and return it to the Contractor within thirty (30) days after receipt with comments and instructions for a format to be used in the preparation of a final report. The contractor shall also provide a revised final report, inclusive of the final version of the survey database, to the COTR no later than two (2) months after the COTR approves the draft.

The contractor shall deliver the final report, database, any computer files, and completed questionnaires to the NMFS economist. All data compiled and collected under the program shall be delivered via CD-ROM to the NMFS economist.

The contractor shall submit all reports to the COTR unless the Contractor is notified otherwise.

SECTION C  
DESCRIPTION/SPECIFICATIONS/WORK STATEMENT

C.2 1352.237-70 REPORTS (MARCH 2000)

a. Progress Reports

The Contractor shall submit, to the Government, a progress report every three (3) month(s) after the effective date of the contract, and every three (3) months thereafter during the period of performance per Task VII of the Statement of Work.

b. Final Report

Ten months after the effective date of this contract, the contractor shall prepare a draft final report per Task VII of the Statement of Work. The Government will review the draft and return it to the Contractor within thirty (30) days after receipt with comments and instructions for a format to be used in the preparation of the final report. The Contractor shall provide a revised final report, inclusive of the final version of the survey data base, to the COTR no later than two (2) months after the COTR approves the draft. The contractor shall deliver the final report, database, any computer files and completed questionnaires to the COTR. All data compiled and collected under the program shall be delivered via CD-ROM.

c. In the event the Government does not return the draft copy of the report to the Contractor within the prescribed period, the Contractor shall be permitted an extra day for each day of delay caused by the Government. The Government shall not be liable for increased costs by reason of any such delay.



SECTION D  
PACKAGING AND MARKING

D.1 1352.247-72 MARKING DELIVERABLES (MARCH 2000)

The contract number shall be placed on or adjacent to all exterior mailing or shipping labels of deliverable items called for by the contract.

**SECTION E**  
**INSPECTION AND ACCEPTANCE**

**E.1 52.246-4 INSPECTION OF SERVICES--FIXED-PRICE (AUG 1996)**  
(Reference 46.304)

**E.2 1352.246-70 INSPECTION AND ACCEPTANCE (MARCH 2000)**

The Contracting Officer or the duly authorized representative will perform inspection and acceptance of supplies and services to be provided under this contract.

Inspection and acceptance will be performed at:  
US Department of Commerce/National Marine Fisheries Service  
Fisheries Economics Office/Southeast Regional Office  
9721 Executive Center Drive N  
St. Petersburg, FL 33702  
Mike Travis, 727-570-5335

**E.3 52.252-2 CLAUSES INCORPORATED BY REFERENCE (FEB 1998)**

This contract incorporates one or more clauses by reference, with the same force and effect as if they were given in full text. Upon request, the Contracting Officer will make their full text available. Also, the full text of a clause may be accessed electronically at this/these address(es):  
<http://www.arinet.gov/far/>

(End of clause)

**SECTION F**  
**DELIVERIES OR PERFORMANCE**

**F.1 52.242-15 STOP-WORK ORDER (AUG 1989)**  
(Reference 42.1305)

**F.2 52.247-34 F.O.B. DESTINATION (NOV 1991)**  
(Reference 47.303-6)

**F.3 1352.215-70 PERIOD OF PERFORMANCE (MARCH 2000)**

The period of performance of this contract is from date of award through 13 months after award.

**F.4 52.252-2 CLAUSES INCORPORATED BY REFERENCE (FEB 1998)**

This contract incorporates one or more clauses by reference, with the same force and effect as if they were given in full text. Upon request, the Contracting Officer will make their full text available. Also, the full text of a clause may be accessed electronically at this/these address(es):  
<http://www.arnet.gov/far/>

(End of clause)

SECTION G  
CONTRACT ADMINISTRATION DATA

**G.1 1352.201-70 CONTRACTING OFFICER'S AUTHORITY (MARCH 2000)**

The Contracting Officer is the only person authorized to make or approve any changes in any of the requirements of this contract and notwithstanding any provisions contained elsewhere in this contract, the said authority remains solely in the Contracting Officer. In the event the Contractor makes any changes at the direction of any person other than the Contracting Officer, the change will be considered to have been made without authority and no adjustment will be made in the contract terms and conditions, including price.

**G.2 1352.201-71 CONTRACTING OFFICER'S TECHNICAL REPRESENTATIVE (COTR) (MARCH 2000)**

a. \*\*To be provided at time of award\*\* is hereby designated as the Contracting Officer's Technical Representative (COTR). The COTR may be changed at any time by the Government without prior notice to the Contractor by a unilateral modification to the Contract. The COTR is located at:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

b. The responsibilities and limitations of the COTR are as follows:

- (1) The COTR is responsible for the technical aspects of the project and serves as technical liaison with the Contractor. The COTR is also responsible for the final inspection and acceptance of all reports, and such other responsibilities as may be specified in the contract.
- (2) The COTR is not authorized to make any commitments or otherwise obligate the Government or authorize any changes which affect the Contract price, terms or conditions. Any Contractor request for changes shall be referred to the Contracting Officer directly or through the COTR. No such changes shall be made without the expressed prior authorization of the Contracting Officer.

**SECTION H**  
**SPECIAL CONTRACT REQUIREMENTS**

**H.1 1352.208-70 PRINTING (MARCH 2000)**

Unless otherwise specified in this contract, the Contractor shall not engage in, or subcontract for, any printing (as that term is defined in Title I of the Government Printing and Binding Regulations in effect on the effective date of this contract) in connection with performing under this contract. Provided, however, that performing a requirement under this contract involving the duplicating of less than 5,000 units of only one page, or less than 25,000 units in the aggregate of multiple pages, such pages are not exceeding a maximum image size of 10 and 3/4 inches by 14 and 1/4 inches, will not be deemed printing.

**H.2 1352.209-71 ORGANIZATIONAL CONFLICT OF INTEREST (MARCH 2000)**

(a) The Contractor warrants that, to the best of the Contractor's knowledge and belief, there are no relevant facts or circumstances which would give rise to an organizational conflict of interest, as defined in FAR Subpart 9.5, or that the Contractor has disclosed all such relevant information.

(b) The Contractor agrees that if an actual or potential organizational conflict of interest is discovered after award, the Contractor will make a full disclosure in writing to the Contracting Officer. This disclosure shall include a description of actions which the Contractor has taken or proposes to take, after consultation with the Contracting Officer, to avoid, mitigate, or neutralize the actual or potential conflict.

(c) Remedies - The Contracting Officer may terminate this contract for convenience, in whole or in part, if it deems such termination necessary to avoid an organizational conflict of interest. If the Contractor was aware of a potential organizational conflict of interest prior to award or discovered an actual or potential conflict after award and did not disclose or misrepresented relevant information to the Contracting Officer, the Government may terminate the contract for default, debar the Contractor from Government contracting, or pursue such other remedies as may be permitted by law or this contract.

(d) The Contractor further agrees to insert provisions which shall conform substantially to the language of this clause, including this paragraph (d), in any subcontract or consultant agreement hereunder.

**H.3 1352.209-73 COMPLIANCE WITH THE LAWS (MARCH 2000)**

The Contractor shall comply with all applicable laws and rules and regulations having the force of law which deal with or relate to performance hereunder or the employment by the Contractor of the employees.

**H.4 1352.233-70 HARMLESS FROM LIABILITY (MARCH 2000)**

The Contractor shall hold and save the Government, its officers, agents, and employees harmless from liability of any nature or kind, including costs and expenses to which they may be subject to or on account of any or all suits or damages of any character whatsoever resulting from injuries or damages sustained by any person or persons or property by virtue of performance of this contract, arising or resulting in whole or in part from the fault, negligence, wrongful act or wrongful omission of the contractor, or any subcontractor, their employees, and agents.

**H.5 1352.252-70 REGULATORY NOTICE (MARCH 2000)**

Contractors are advised that certain provisions and clauses identified with a Commerce Acquisition Regulation (CAR) notation for identification purposes, have not yet been incorporated into the CAR. However, all of these items are binding for this acquisition and will eventually be contained in the CAR at Part 13 of Title 48 of the Code of Federal Regulations.

**SECTION I  
CONTRACT CLAUSES**

**I.1 52.252-2 CLAUSES INCORPORATED BY REFERENCE (FEB 1998)**

This contract incorporates one or more clauses by reference, with the same force and effect as if they were given in full text. Upon request, the Contracting Officer will make their full text available. Also, the full text of a clause may be accessed electronically at this/these address(es):  
<http://www.arnet.gov/far/>

(End of clause)

**I.2 52.202-1 DEFINITIONS (JUL 2004)**

(Reference)

**I.3 52.203-3 GRATUITIES (APR 1984)**

(Reference 3.202)

**I.4 52.203-5 COVENANT AGAINST CONTINGENT FEES (APR 1984)**

(Reference 3.404)

**I.5 52.203-6 RESTRICTIONS ON SUBCONTRACTOR SALES TO THE GOVERNMENT (JUL 1995)**

(Reference 3.503-2)

**I.6 52.203-7 ANTI-KICKBACK PROCEDURES (JUL 1995)**

(Reference 3.502-3)

**I.7 52.203-8 CANCELLATION, RESCISSION, AND RECOVERY OF FUNDS FOR ILLEGAL OR IMPROPER ACTIVITY (JAN 1997)**

(Reference)

**I.8 52.203-10 PRICE OR FEE ADJUSTMENT FOR ILLEGAL OR IMPROPER ACTIVITY (JAN 1997)**

(Reference 3.104-9)

**I.9 52.203-12 LIMITATION ON PAYMENTS TO INFLUENCE CERTAIN FEDERAL TRANSACTIONS (JUN 2003)**

(Reference)

**I.10 52.204-4 PRINTED OR COPIED DOUBLE-SIDED ON RECYCLED PAPER (AUG 2000)**

(Reference 4.303)

**I.11 52.204-7 CENTRAL CONTRACTOR REGISTRATION (OCT 2003)**

(Reference)

**I.12 52.209-6 PROTECTING THE GOVERNMENT'S INTEREST WHEN SUBCONTRACTING WITH CONTRACTORS DEBARRED, SUSPENDED, OR PROPOSED FOR DEBARMENT (JUL 1995)**

(Reference 9.409)

**I.13 52.215-2 AUDIT AND RECORDS--NEGOTIATION (JUNE 1999)**

(Reference 15.209)

**I.14 52.215-8 ORDER OF PRECEDENCE--UNIFORM CONTRACT FORMAT (OCT 1997)**

(Reference 15.209)

**I.15 52.215-11 PRICE REDUCTION FOR DEFECTIVE COST OR PRICING DATA--MODIFICATIONS (OCT 1997)**

(Reference 15.408)

**I.16 52.215-13 SUBCONTRACTOR COST OR PRICING DATA--MODIFICATIONS (OCT 1997)**

(Reference 15.408)

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CONTRACT CLAUSES

- I.17 52.219-6 NOTICE OF TOTAL SMALL BUSINESS SET-ASIDE (JUN 2003)  
(Reference)
- I.18 52.219-8 UTILIZATION OF SMALL BUSINESS CONCERNS (MAY 2004)  
(Reference)
- I.19 52.219-14 LIMITATIONS ON SUBCONTRACTING (DEC 1996)  
(Reference 19.811-3)
- I.20 52.222-3 CONVICT LABOR (JUNE 2003)  
(Reference)
- I.21 52.222-21 PROHIBITION OF SEGREGATED FACILITIES (FEB 1999)  
(Reference 22.810)
- I.22 52.222-26 EQUAL OPPORTUNITY (APR 2002)  
(Reference)
- I.23 52.222-35 Equal Opportunity for Special Disabled Veterans, Veterans  
of the Vietnam Era, and Other Eligible Veterans. [Dec 2001]  
(Reference)
- I.24 52.222-36 AFFIRMATIVE ACTION FOR WORKERS WITH DISABILITIES (JUN 1998)  
(Reference 22.1408)
- I.25 52.222-37 EMPLOYMENT REPORTS ON SPECIAL DISABLED VETERANS, VETERANS OF  
THE VIETNAM ERA, AND OTHER ELIGIBLE VETERANS (DEC 2001)  
(Reference)
- I.26 52.223-14 TOXIC CHEMICAL RELEASE REPORTING (AUG 2003)  
(Reference)
- I.27 52.225-13 RESTRICTIONS ON CERTAIN FOREIGN PURCHASES (JAN 2004)  
(Reference)
- I.28 52.227-1 AUTHORIZATION AND CONSENT (JUL 1995)  
(Reference 27.201-2)
- I.29 52.227-2 NOTICE AND ASSISTANCE REGARDING PATENT AND COPYRIGHT  
INFRINGEMENT (AUG 1996)  
(Reference 27.202-2)
- I.30 52.227-14 RIGHTS IN DATA--GENERAL (JUN 1987)  
(Reference 27.409)
- I.31 52.229-3 FEDERAL, STATE, AND LOCAL TAXES (April 2003)  
(Reference)
- I.32 52.232-1 PAYMENTS (APR 1984)  
(Reference 32.111)
- I.33 52.232-8 DISCOUNTS FOR PROMPT PAYMENT (FEB 2002)  
(Reference)
- I.34 52.232-11 EXTRAS (APR 1984)  
(Reference 32.111)
- I.35 52.232-16 I PROGRESS PAYMENTS (DEC 2002)--ALTERNATE I (Apr 2003)  
(Reference)
- I.36 52.232-17 INTEREST (JUNE 1996)
- WC133F-04-RP-0031

**SECTION I  
CONTRACT CLAUSES**

(Reference 32.617)

**I.37 52.232-23 ASSIGNMENT OF CLAIMS (JAN 1986)**

(Reference 32.806)

**I.38 52.232-25 PROMPT PAYMENT (OCT 2003)**

(Reference)

**I.39 52.232-33 PAYMENT BY ELECTRONIC FUNDS TRANSFER--CENTRAL CONTRACTOR  
REGISTRATION (OCT 2003)**

(Reference)

**I.40 52.233-1 DISPUTES (JUL 2002)**

(Reference)

**I.41 52.233-3 PROTEST AFTER AWARD (AUG 1996)**

(Reference 33.106)

**I.42 52.242-13 BANKRUPTCY (JUL 1995)**

(Reference 42.903)

**I.43 52.243-1 I CHANGES--FIXED-PRICE (AUG 1987)--ALTERNATE I (APR 1984)**

(Reference 43.205)

**I.44 52.244-6 SUBCONTRACTS FOR COMMERCIAL ITEMS (JUL 2004)**

(Reference)

**I.45 52.246-25 LIMITATION OF LIABILITY--SERVICES (FEB 1997)**

(Reference 46.805)

**I.46 52.249-2 TERMINATION FOR CONVENIENCE OF THE GOVERNMENT (FIXED-PRICE) (MAY  
2004)**

(Reference)

**I.47 52.249-8 DEFAULT (FIXED-PRICE SUPPLY AND SERVICE) (APR 1984)**

(Reference 49.504)

**I.48 52.253-1 COMPUTER GENERATED FORMS (JAN 1991)**

(Reference 53-111)

**I.49 52.252-6 AUTHORIZED DEVIATIONS IN CLAUSES (APR 1984)**

(a) The use in this solicitation or contract of any Federal Acquisition Regulation (48 CFR Chapter 1) clause with an authorized deviation is indicated by the addition of "(DEVIATION)" after the date of the clause.

(b) The use in this solicitation or contract of any Commerce Acquisition Regulation (48 CFR Chapter 13) clause with an authorized deviation is indicated by the addition of "(DEVIATION)" after the name of the regulation.

(End of clause)



SECTION J  
LIST OF ATTACHMENTS

J.1 GULF PROGRAM'S REPORT



OUTREACH & EDUCATION PROGRAM  
FOR GULF SHRIMP FISHERMEN  
REGARDING THE COLLECTION OF  
SOCIOECONOMIC DATA

Scoping Meetings in the Gulf of Mexico  
Regarding the Acquisition and Analysis of  
Economic Data from the Shrimping Industry

FINAL REPORT  
June 2002

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A project funded via NOAA / National Marine Fisheries Service  
Purchase Order #43WCNF1A0048 (#79)

The views contained herein are those of the authors and do not necessarily reflect the  
views of the U. S. Department of Commerce or any of its sub-agencies.

SECTION J  
LIST OF ATTACHMENTS

**OUTREACH & EDUCATION PROGRAM FOR GULF SHRIMP  
FISHERMEN REGARDING THE COLLECTION OF SOCIOECONOMIC DATA**

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**Gulf and South Atlantic Fisheries Foundation, Inc.  
FINAL REPORT  
June 2002**

**Introduction**

Both the Gulf shrimping industry and the National Marine Fisheries Service (NMFS) have clearly identified that a paucity of accurate shrimp economic data exists. These needed data provide important information into the prudent management of the nation's most valuable fishery. In order to improve data collection and assuage past problems, NMFS contacted the Gulf and South Atlantic Fisheries Foundation, Inc. (Foundation) for guidance and assistance in establishing a gulf-wide scoping effort to obtain insights from the shrimping industry relative to the enhancement of socio-economic data. As a result of funding provided to the Foundation, an intense regional effort directed at contacting different segments of the gulf shrimping industry was initiated in cooperation with NMFS. This report provides insight into this effort and describes Foundation tasks relative to this cooperative thrust.

**Complexity of the Problem**

Enormous differences exist among shrimping operations. The industry is composed of some businesses that consist of vertically integrated enterprises, which are structured along traditional corporate frameworks. These may be large, single owner fleet operations, or on the other end of the spectrum, single owner/operator vessels that may only occasionally fish federal waters. Numerous operations exist that fall in between these categories. Additionally, a significant inshore fleet exists in the Gulf of Mexico. The majority of these vessels will shrimp strictly in bays and/or nearshore waters near the beach. Some of these vessels do shrimp in federal, offshore waters. Our focus was directed toward vessels that fish offshore at least part of the year.

Within this broad spectrum of businesses, variation also occurs in accounting strategies (calendar year vs. shrimping season, i.e. May of the current year through April of the following year). Furthermore, important differences regarding vessel crew settlements also occur. For example, a particular fleet in Brownsville does not charge its crew for fuel expended in shrimping operations, whereas another in the same area does. Consistency does not exist within the industry regarding cost accounting procedures for net repair, lost gear, etc. The aforementioned examples of variability are only a few that make accumulation and analysis of economic shrimping data a recondite task.

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Further complexity to an economic effort regards the socio-economic structure of the shrimping industry. The Asian/American community has become heavily invested into the shrimping industry. Significant Vietnamese shrimping businesses are found from Alabama to the middle portion of the Texas coast. It appears that Texas, Louisiana and Mississippi have the largest numbers of these Asian/American communities. It should be noted in our project that members of the Asian/American shrimping communities vary in regard to religious preference. This is important because past experience and efforts during this project have indicated that the church can provide an important forum for initial contact and meetings.

Large single owner fleets and individual owner/operator boats composed of Mexican Americans are an integral part of the Western Gulf of Mexico shrimp fisheries. Louisiana is renowned for its Cajun culture and related shrimp fishery. In order to obtain accurate and dependable socio-economic data from these subcultures, a clear understanding of their economic and accounting systems must be achieved. Effective communication with different socio-economic groups is of paramount importance; thus a comprehension of their cultures is vital. Information on all groups is critical because of NEPA guidance to look at regulatory impacts on minority populations. Furthermore, it is important that the shrimping industry obtain a clear understanding of the importance of sharing their economic data.

Added complexity regarding attempts to contact shrimp fishermen throughout the Gulf of Mexico is experienced in the vast expanse of shrimping communities and ports scattered throughout the region. The fact that we traveled from Brownsville, Texas to Key West, Florida during this project illustrates this fact. Louisiana is especially problematic because a relatively large number of shrimp fishermen live and/or dock their vessels there, and because ports are often not efficiently accessible from a time perspective.

#### **Scoping Team and Project Planning**

Project efforts regarding interaction with the shrimping industry focused around Dr. Mike Travis, Shrimp Economist, Southeast Regional Office of NMFS, in St. Petersburg, Florida. Although Dr. Travis had considerable experience and interaction in other fisheries and geographic locations, his position as shrimp economist is relatively recent. His commitment to expanding his knowledge of the industry and to establishing meaningful contacts with shrimping clientele was clearly demonstrated throughout this project. In order to effectuate contacts and assist with project execution, the Foundation utilized its two regional coordinators – Mr. David L. Harrington, Georgia Marine Extension Service and Foundation South Atlantic Coordinator and Mr. Gary L. Graham, Texas A&M Marine Advisory Service and Foundation Gulf Coordinator. Together, they shared a combined 76 years of experience working within the shrimping industry. The knowledge and contact base between these two specialists was used extensively in coordinating field interactions with potential contacts associated with the shrimping industry.

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Prior to actual fieldwork, extensive planning and coordination was conducted within the scoping team. Because of constraints regarding expendable time of the investigators, budget and the geographic magnitude of the gulf shrimping industry, in-depth coordination was required. In order to achieve maximum effectiveness and efficiency regarding field efforts, numerous discussions and conferences were conducted relative to preparation of the actual project activities.

It was agreed that different trip segments would focus upon individual states. Florida would consist of one trip segment comprising 6 field days, Texas would receive 5 field days, Louisiana would be allocated 5 field days, and 5 field days were to be allocated to Mississippi/Alabama combined.

During the course of the project, our plans required alteration. Efforts in Louisiana were somewhat hampered because Mardi Gras and Chinese New Year occurred during the scheduled week. Because of industry distractions associated with these events, an additional day was apportioned for more contacts. An opportunity also became available which allowed the team to redirect efforts in Louisiana and also visit Port Arthur, Texas – a port that was not originally planned due to its inconvenient location. Some flexibility existed in this project which greatly enhanced its overall success.

#### **Project Methodology**

Texas was selected as the first state to receive economic scoping efforts. This choice was made for several reasons. First, it was the headquarters for Gary Graham and he believed that established contacts in that state would be the easiest for interaction. It was believed that, through initial contacts in Texas, Dr. Travis could obtain an accurate perception of industry's interest and potential cooperation regarding shrimp economics. In addition to obtaining a "feel" for industry responses, Texas was determined to be a favorable place to develop tactics and approaches to be utilized in other areas of the Gulf Region.

Several different outreach techniques were evaluated in Texas. These consisted of small luncheon meetings, formal workshop environments and one-on-one/small group contacts on the waterfront. After experimenting with these contact methods, it was agreed that small group meetings and one-on-one contacts provided the best forum and input for both Dr. Travis and industry members. Workshop environments, although effective in providing numbers of people, did not seem to produce the quality of information sought in this project. Through heuristic experience obtained in Texas, future efforts in other states were designed.

During the initial efforts, it became very apparent that the shrimping industry was quite disconcerted with previously published data and reports indicating the economic status and viability of the fishery. This was especially evident in regard to vessel and crew economics. In fact, it became clearly evident that many members of the shrimping industry were not aware of existing economic data that have been used in making management decisions. When shown previously published economic reports, industry regularly indicated dismay and refuted them. In many cases industry showed records or

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provided input into how their operations differed economically from previous references that have been utilized within the scientific community.

This project provided an excellent forum for the exchange and discussion of shrimping economics between industry and Dr. Travis. Some of the major topics which were discussed related to:

- Importance of economic data in establishing management decisions
- Existing economic data and publications that have been utilized by management agencies
- Industry input regarding perception of the accuracy of current economic information being utilized by management agencies
- Potential industry cooperation with provision of more accurate economic information
- Effective and accurate methods for obtaining economic information from industry
- Individual nuances of particular shrimping operations, especially regarding economic data
- Effectiveness of various methods relative to informing industry of the need for accurate economic information – especially certain socio-economic groups that have not been aware of the importance of such information
- Industry perception of localized strategies (state surveys) to obtain economic data
- Industry concern regarding revenue per vessel figures/data in various reports that are currently being reflected in existing publications and reports

**Project Conclusions**

After several meetings, it became apparent that many shrimp fishermen had significant problems with economic information that had been used to describe their industry. A general concern emerged based upon a combination of the industry's knowledge of their operations and Dr. Travis' understanding of the data. It was almost universally expressed that NMFS' landings and gross revenues data were not completely accurate at the vessel level. In order to solve this problem, it became unclear whether revenues would have to be requested via the new economic data collection program or whether the existing NMFS data could be used. In the states of Louisiana, Florida and Alabama, it was also noted that the state trip ticket systems might be a source of such data. While this is true, Dr. Travis indicated that Texas and Mississippi still did not have such programs. By utilizing state data, we would not have complete information for vessels that landed in those states, even if it is for only part of the year.

Another instance of inaccurate economic information being used by NMFS was in regards to recently proposed TED rules. Specifically, industry questioned NMFS' estimates of TED replacement costs, average life of a TED, how many shrimp fishermen used particular types of TEDs, and the costs created by shrimp loss. All of these inaccuracies skewed NMFS' analyses, according to industry.

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A conclusion obtained from this project is the need for industry input into the content and structure of any economic data collection program. It was also very clear that industry should review summary data/reports based upon economic information that is provided.

The issue of how best to actually administer an economic program was probably not as fully addressed as might have been desirable, undoubtedly because so many other, critical issues were brought up by industry. Whether this implies that the method is of minor importance to the industry is unknown. However, various industry participants provided some suggestions. Note that, as far as we could ascertain, the majority favored voluntary participation in such a program. For example, some seemed to favor a survey form that could be filled out and provided to Dr. Travis. A single survey form would ensure that the same information was collected from all participants. Others suggested that, rather than filling out a form, they could simply provide copies of their IRS tax forms. The latter approach seemed to be advanced as a means to simplify the process for the fishermen, and yet also assure that accurate information was being provided. Another potential desire was for different parts of the federal government to be using the same information. Avoidance of another form to fill out was clearly a motivation for the suggested approach, particularly by shrimp fishermen in Louisiana, who have apparently been burned out by the combination of the mail survey and the fairly complex (in their view) trip ticket system. It is not clear whether one approach is definitively better than the other is and thus multiple approaches may be necessary to achieve maximum participation. Potential pitfalls of using multiple approaches need to be identified.

Another suggestion advanced by many industry people was the idea of using particular people or businesses as focal points to disseminate and retrieve the survey and/or IRS forms in each port/community. Focal points/people were primarily considered the dealerships, but also included net shops and even pastors/churches. While this was a sound suggestion, the logistics of such an approach were not entirely clear and need to be worked out in advance.

It was unclear whether industry would object to or support NMFS personnel (such as port agents) collecting economic information. While it appeared they would be comfortable providing the information to Dr. Travis, it is obvious that he cannot handle the entirety of such a task on his own. If industry would object to providing the information to other NMFS personnel, then the actual data collection would need to be handled by an outside contractor, though under Dr. Travis' supervision. A contractor could be of an academic nature (who is familiar with the industry) or a company that specialized in administration of socioeconomic surveys. Again, it is unknown at this time whether industry has a preference between the two.

In past data/analysis, shrimp fishermen claimed that the industry was not properly described and segmented, and thus the analyses were "skewed." For example, part-timers were lumped in with full-timers, offshore with inshore, improper vessel size categories were used, and important vessel/operational characteristics such as engine horsepower, numbers/size of nets, degree of electronic technology, owner-operators vs.

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fleet operations, etc. were not described or distinguished. With respect to full vs. part-time operators, it was determined that the lumping together of these two groups, in combination with the previously noted problems with NMFS' data on revenues, caused vessel level revenues to be underestimated. Some shrimp fishermen, particularly those from south Texas, were under the erroneous assumption that NMFS already had complete information of the number of days they fished per year. Dr. Travis told them that this was not the case, and that segmentation of full-time from part-time operators was not possible at this time. Though port agent interview coverage may be high in southern Texas, it is not in many other areas of the Gulf. This is important because port agent interviews are the source of data on trip length/days at sea. Some industry members also noted that the last NMFS survey only addressed Texas, and such information should not be applied to the industry in other states.

Several fishermen commented on the fact that previous research did not accurately capture the true value of the fishery to their local communities, i.e. economic impacts due to multiplier effects. Industry representatives in Ft. Myers indicated that, in their case, such research had been performed, with their cooperation, for Lee County. Further, they thought that the baseline data used in that study was quite accurate, and were supportive of the study's results as well. In other areas, industry stressed that socioeconomic analysis of their fishery and communities needed to be done. This was particularly stressed in Texas, but also noted in other states.

During this project, economic mail surveys that originated in Texas and Louisiana were discussed with shrimp fishermen. The general consensus expressed by industry was that these were not satisfactory. Complaints were received regarding redundant questions in the surveys. Specifically, in Louisiana, some shrimp fishermen thought certain information requested on the surveys had already been provided via their trip tickets. In both states, numerous fishermen indicated that they had not received the forms, while many others stated that they refused to fill the survey out. Refusal was due to a combination of factors, though the most critical factor appeared to be that the fishermen had not been personally contacted in advance by someone who could explain what the survey was about, why particular questions were being asked, and how their information would be used. Without such outreach efforts, and given that the surveys were coming from the state (or an entity contracted by the state), the shrimp fishermen did not trust that their data would be used properly. The project group formulated the conclusion that these survey instruments were not as effective as would have been hoped. Perhaps a review process by industry prior to implementing such a survey program would be useful.

It was discovered during this project that providing information at the individual vessel level regarding repairs and maintenance might be a recondite task in some instances. At least one company indicated that providing such information might prove difficult since it aggregates such expenses at the company rather than the vessel level. Furthermore, the company includes a dealership as well as multiple vessels. It is unknown how many such cases could be encountered once a program is actually implemented, but solutions need to be prepared in advance.

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Unfortunately, certain important ports and communities were missed during the project. This was mainly attributed to time/cost constraints. Among some of the important Louisiana ports that were not visited were Intercoastal City, Delcambre, and Chauvin, Louisiana. We were not able to visit such ports as Panama City and Pensacola, Florida. Although we conferred with one Christian segment of the Asian/American community in Biloxi, Mississippi, we were not able to include the Catholic and Buddhist components in our limited time.

The issue of specific variables to be collected or questions to be asked with the socioeconomic data collection program was not addressed to a great extent in this effort. It was determined that presenting a draft of a proposed form/approach to the industry should be the next phase of this process, which is expected to occur in the months of May and June. Of significant importance is the current development of a vessel and gear characterization form associated with federal shrimp permits. Information obtained from this project contributed significantly in the structuring of this instrument.

One of the major accomplishments of this economic scoping effort was that it initiated interest in industry for better economic data. As a result of this project, industry obtained an enhanced appreciation for the importance of accurate and definitive economic information for the shrimping industry. This project served to establish frameworks for discussion that clearly opened doors between Dr. Travis and industry that should help to ameliorate existing problems with economic data.

#### **Field Activities**

The following narrative relates to field efforts associated with this economic scoping mission. Each state and corresponding contacts and activities are listed individually in a condensed trip log that is included at the end of this report.

#### **TEXAS**

Activities in Texas were conducted on January 14-19, 2002. A chance to conduct activities in Port Arthur for a short period of time was availed on February 11, 2002 while conducting efforts in Western Louisiana. During the major Texas effort, Gary Graham accompanied Mike Travis on a coastal tour originating in the Galveston area and terminating in Brownsville. Over forty industry contacts were made in Texas. Approximately 8 contacts were made with extension agents, port agents and other participants at formal meetings.

During the Texas activities, two formal workshops were conducted – one in Palacios and one in Port Isabel. Sea Grant Marine Extension Agents, Logan Respass and Tony Reisinger, assisted in organizing these events. These workshops were complimented with other outreach techniques that included one-on-one contacts and small group discussions.



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FLORIDA

Economic scoping meetings were conducted in Florida from January 28-February 6, 2002. After experimenting with various meeting techniques with the shrimping industry, it was determined that one-on-one and small group contacts were the most effective method for exchange of ideas and information relative to shrimp economic data. David Harrington, Foundation South Atlantic Regional Coordinator, participated in the meetings with Dr. Travis. Gary Graham also was part of the team and provided contacts in the state.

Approximately 28 industry contacts were established in Florida. Special assistance was received from Ed Little, NMFS Port Statistical Agent in Key West and Bill Mahan, Sea Grant Agent in Apalachicola.

LOUISIANA

Economic meetings were conducted in Louisiana during February 11-16. During the week of planned meetings, the team determined that it would be most efficient to initially travel to the western portion of the state, where conflicts with Mardi Gras would be less significant. David Harrington and Gary Graham accompanied Dr. Mike Travis in the weeklong effort.

The scoping team met with approximately 30 industry members during efforts in Louisiana. Ms. Jay Boulet, NMFS Statistical Agent, assisted with contacts in the eastern portion of the state. She was especially useful in assisting with meetings with the Asian American community. Mr. Jerald Horst, Sea Grant Specialist, provided several names for contacts in Louisiana.

The extensive geographic distribution of ports in Louisiana required significant amounts of driving. Given this problem, we often spent much time in travel. The project team agreed that more time should have been allocated for this state.

MISSISSIPPI/ALABAMA

Dr. Mike Travis and Gary Graham conducted scoping efforts in Mississippi and Alabama during February 26 – March 1. Through the assistance of Jay Boulet, NMFS Port Statistical Agent, a special meeting with the Asian American community was conducted at the Vietnamese Assembly of God in Biloxi. A translator was provided for communication with a relatively large group of Vietnamese fishermen and wives. Thirty-three contacts were made in Mississippi.

Additional efforts focused upon Pascagoula, Mississippi. Meetings were also conducted in Alabama that included Mobile, Bayou La Batre, Foley and Bon Secour. Five contacts were made in Alabama. More time should have been allocated to these states, but project limitations were such that we could not do so.

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**Development of Survey Instrument – Gulf Shrimp Vessel and Gear Characterization Form**

One of the priorities of this project was to develop and evaluate a questionnaire for acquisition of important shrimp vessel information. It was clearly identified from industry and from fishery managers that this sort of information has been severely deficient. Following the intensive field efforts throughout the Gulf ports, Dr. Mike Travis formulated a survey instrument that is designed to acquire important information about gear and operational aspects of vessels involved in the gulf shrimp fishery. Several conference calls were initiated to evaluate a draft questionnaire. During these conferences, both scientists and industry members reviewed the survey instrument and provided input into potential questions and format changes. One of the suggestions incorporated into the form was inclusion of TED diagrams for the assurance of standardized terms for these exclusion devices. Input and suggestions were also received regarding trawl types and related terminology.

After the draft survey form was modified, meetings were conducted with several industry members to ask for their feedback. Additional suggestions were provided to Dr. Travis and a final draft form was developed for evaluation (See Appendix 1).

The development of the survey instrument then went into a second stage – evaluation by industry. Nine industry members, as prescribed by OMB guidelines, were selected to fill out the draft form for pre-testing purposes and mail it to Dr. Travis. The Foundation then contacted these participants and asked 5 questions that were provided by NMFS. These questions are:

1. Are these good questions and are they understandable? Were they asked properly?
2. Is the format structure acceptable?
3. Does the form need an instruction sheet?
4. Are the TED diagrams helpful?
5. How much time was required to fill out the form?

The following responses were received from the nine follow-up interviews.

1. *Are these good questions and are they understandable? Were they asked properly?*
  - It was apparent that two respondents did not understand differentiation between offshore and inshore waters as asked in question Number 4 of the survey instrument. During the follow-up interviews it was learned that two of the respondents (both fleet operators) confused inshore waters with nearshore fishing grounds. When comments were received from these two industry cooperators, it was learned that they filled the forms out incorrectly. Both industry members operated their vessels exclusively outside of the COLREGs line, yet they estimated, with

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difficulty and according to them, inaccuracy, the amount of time that their vessel would have fished near the beach versus in deeper waters. This resulted in a reporting error which would have reflected that their large Gulf vessels would have fished in bays and sounds inside of the COLREGs lines.

- Three respondents expressed concern regarding another aspect of question Number 4. All three of these people expressed problems with time required in finding the amount of days fished and fuel expended in 2001. One of these respondents did not fill out this information on the form and indicated that it would have taken a better part of a day to find these numbers. Although two other respondents expressed that it was a hardship to find and accurately report the amount of days fished and fuel consumed, they did so. It was reported that the amount of time just to locate and sum this information took approximately one hour.
- Two similar comments were received regarding question Number 4 as it relates to the number of days fished. Both respondents stated that their boats sometimes traveled large distances before they began their actual trawling activities. These industry members expressed that number of days at sea might not reflect actual fishing effort in an accurate manner.
- One of the respondents expressed concern regarding headrope length as asked in Question 7. The industry member feared inaccurate reporting of this question. It was stated that industry uses "outside hanging to outside hanging" on the headrope in depicting net size. Several additional feet of headrope are used as leglines - that is the portion of the corkline that extends past the area that netting is attached and is connected to the trawl doors. The respondent feared that if overall headrope lengths were used, average trawl size would appear to be larger than they actually were. It was stated that some vessels use 2 feet leglines, other use 4 feet, etc., when the size of net might be the same when using "hanging to hanging" measurement. The harvesting potential of the trawl is better described by utilizing "hanging to hanging" measurement.
- Another industry cooperator asked additional questions regarding Number 7. This question asked the number of nets that one typically uses. The respondent inquired if the number of nets reflected those used in a year or typically were the number of nets employed in the water during a fishing operation. In other words, did the questionnaire want the number of nets that were destroyed, worn out, etc. in a year, in addition to the nets that were utilized and not lost or damaged.
- One respondent said that question Number 8, which asks about trawl material and mesh size, should have more space. It was indicated that his boat used different trawls depending upon the time of year. Three

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different mesh sizes were employed equally throughout the year and more space was needed on the form to depict these variations.

- Regarding question Number 10 A., in the section that addresses opening types of TEDs, several of the respondents did not know exactly what the escape dimensions were of the TEDs that were being utilized on their vessels. Three respondents said that they checked the box that indicated Gulf Minimum (32"x10") knowing that the gears may have been rigged with larger openings. It should be noted that most of the vessels were not in port, and TEDs could not be measured.
- A comment received from one of the respondents related to question number 11b. which asked if accelerator funnels were used. This fleet owner stated that he installed accelerator funnels in all of his TEDs, yet often his crew removed them. He indicated that he might not be reporting what actually is taking place.
- A comment received from one of the industry participants related to question Number 12 which dealt with electronics on the vessel. He indicated that he did not know the difference between GPS and Satellite Navigation System. He also expressed confusion in the list with Navigational Echo Sounder, Echo Sounder, and Video Sounder. He stated that he believed a number of people might experience the same difficulty.

2. *Was the format structure acceptable?*

- All respondents stated that the format structure was acceptable.

3. *Does the form need an instruction sheet?*

- All respondents indicated that no instruction sheet was needed, unless it would be used to clarify some of the points such as offshore and inshore or measurement of trawls (hanging to hanging or headrope with leglines). After reviewing the comments of the participants, it could be argued that an instruction sheet might be useful. Apparent confusion regarding some of the questions was evident.

4. *Are the TED diagrams helpful?*

- Industry unanimously agreed that the TED diagrams were helpful and should be included.

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5. *How much time was required to fill out the form?*

The following answers were received from each of the participants that had filled out the form:

- 15 minutes - determining fuel and days fished requiring the most time
- 15-20 minutes with determining fuel and days fished requiring the most time
- 70 minutes – fuel and days fished required about an hour
- 63 minutes – fuel and days fished required the most work
- 4 minutes to fill out form – did not report fuel or days fished which would have required the better part of a day to determine
- 15 minutes – used settlement sheets to determine number of days fished
- 10 minutes
- 15 minutes, but had good record. An owner/operator might have more difficulty
- 15 minutes

An additional comment was received from three of the participants when they were contacted after they filled out the form. They indicated that during earlier testimony regarding federal shrimp permits, that they had expressed or seen a need for determining the number of vessels in the fishery. They did not see a need to ask additional questions regarding gear, fuel and days fished.

**Foundation Conclusions Regarding the Survey Form**

That differences in record keeping and the ability to retrieve vessel operation information exist within the industry is an understatement. During post-test interviews, comments received from some of the participants indicated they had no difficulty in retrieving records for answering the questions on the survey instrument. This simplicity is clearly reflected by six of the respondents regarding the short amount of time necessary to complete the form. Three participants indicated it was a very time consuming and laborious task. It is obvious that inconsistency exists within the shrimp industry, at least from the limited numbers of participants we were able to interview. The acquisition of accurate data from some of the industry is of significant concern due to time and difficulty for information retrieval.

Some of the identified problems or confusion expressed by industry in filling out the survey instrument could be assuaged with an instruction sheet. These instructions could provide clarity about number of nets and headrope length. During initial planning conferences for design of the form, some anxiety existed regarding differentiation between numbers of trips, days at sea and gallons of fuel associated with *offshore* and *inshore*. After post-test evaluations, we confirmed a problem existed with vessels that fish both nearshore (near the beach) and offshore waters. Two of the respondents confused *nearshore* with *inshore* fishing. Definition of offshore and inshore requires enhancement because some of the participants misconstrued these terms. In addition to describing these two categories in the instruction sheet, a change in the listing on the

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form is suggested. In Question 4, underneath the heading of Offshore, a simple insertion of ( *From the Beach Out*) could be used. Under the heading of Inshore, placement of (*Bays and Sounds*) might serve to ameliorate the confusion.

Because of difficulty by some in retrieving total days fished and fuel consumption, the form might present problems with breaking these parameters down into offshore and inshore categories. Most of the boats that fish inshore and offshore are owner operated. Financial records may not be as precise and accessible for individuals fishing their own vessel. It is very possible that fleet managed operations employ bookkeepers that can more efficiently recover economic data required on the questionnaire. Conversely, it is thought that owner operators might have less difficulty responding to questions regarding gear and TEDs as they deal with these items on a personal basis. For example, one fleet operation had different size TED escape openings among its various vessels.

Additional changes on the form are suggested. Clarification might be enhanced by placing (*outside hanging to outside hanging*) directly under Headrope Length in Question 7.

It is suggested that some clarification be made in the electronics list associated with Question 12. Specifically, differences in Navigational Echo Sounder, Echo Sounder and Video Sounder should be explained. Differentiation between Satellite Navigation System and GPS should be included. This could be accomplished in the instruction sheet. Depth Sensor should be changed to Net Depth Sensor so that it does not become confused with other bottom recording devices.

In the previously discussed survey results, industry members pointed out questions on the form that were problematic. After the assigned post-test evaluations were conducted, three of the participants expressed concern about questions asked in the survey instrument. Industry, throughout the Gulf, clearly stated a need in refining and upgrading existing shrimp economic data. However, after the post-test interviews, several of the participants said that they did not think the survey instrument would serve to improve economic information. They questioned the benefit of inquiring about net types, TED information, etc. regarding the refinement of shrimp economic data. It should be noted the survey instrument is only a beginning of a recondite task to acquire characterization information of the shrimp fishery. It is stated in earlier parts of this report that concern exists regarding accumulation of economic information through mail-out surveys. Future efforts to specifically accumulate and analyze socioeconomic data are being considered and will be pursued. Because such a paucity of information now exists in the shrimp industry, the survey form should be considered as only a start in the accumulation of needed data.

#### **Project Summary**

Approximately 136 individual members of the shrimping industry were contacted during the scoping meetings. It should be emphasized that the number of contacted vessels was considerably higher. Many of the contacts that were established were with fleet owners,

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as well as individuals or companies that manage and/or buy product from multiple vessels. It was the consensus of the team that over 400 vessels were involved with our contacts. On the other hand, we are not convinced that all of the contacts would participate in cooperative economic data collection efforts. Certainly, some contacts could be considered marginal regarding their potential cooperation.

During this effort, it was determined that a higher quality of information could be obtained through small group and one-on-one contacts. The majority of this effort focused upon such techniques.

As a result of the scoping efforts, industry was made aware of the importance of accurate socio-economic data. It became readily apparent that industry has a tremendous concern for existing shrimp economic data. The potential for future cooperation between NMFS and the shrimping industry in regard to obtaining more accurate information and cooperation was clearly indicated in the meetings. Some industry members pledged commitment in providing their personal economic information to Dr. Travis. A further indication of support was reflected in invitations extended to Dr. Travis for presentations to be made at Texas Shrimp Association and Southeastern Fisheries Association annual meetings.

Because of this effort, a forum for the open exchange of ideas and information was provided throughout the Southeast. Additional knowledge was acquired by the project investigators and industry members relative to nuances in accounting systems, vessel operations and crew settlement, perceptions of economic survey instruments, variables in shrimping strategies, and a host of other pertinent socio-economic topics.

Progress in the design of a survey instrument for use in determining vessel and gear characteristics was achieved during this project. As a result of industry cooperation, a form was designed and tested with industry. Results and evaluations from this effort should serve to enhance a modified questionnaire which will be both efficient and useful for industry and managers.

Perhaps the largest contribution of this project is reflected in the numerous contacts that were established. This base of industry support will inevitably lead to the better acquisition and refinement of shrimp economic data.

#### **Summary of Trip Log**

##### **Texas**

A description of dates, activities and contacts for Texas are:

*January 14, 2002* Dr. Travis flew into Houston Intercontinental Airport and was met by Gary Graham. A late luncheon meeting was organized for several members of PISCES in the San Leon Area. Richard Moore, president of PISCES, provided assistance in recruiting Kenny Williams and Mike Morris to participate in economic discussions

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regarding shrimping economics. This group was selected because they are somewhat unique from traditional gulf shrimp fishermen. The PISCES members are small boat owners and fish the EEZ only during certain periods of the year. During other periods, they direct efforts to inside waters (bays) of Texas. These constituents sometimes present problems with data analysis, especially in regards to comparison with full-time offshore vessels.

*January 15, 2002* Efforts for this day focused upon contacts at the shrimp docks in Freeport. Contacts and economic discussions were conducted with:

Raymond Gore	R. C. "Pancho" Busch
Hollis Forrester	Ned Baron II
Harry Davis, Jr.	Ned Baron III
Elmer Davis	

*January 16, 2002* A formal meeting was conducted in Palacios. This meeting incorporated a lunch prepared by Gary Graham. Industry participants included:

W. C. Greenlaw	Craig Wallis
Muriel Tipps	Kenneth Garcia
Terry Mosier	Bill Turner
Kyle Wallis	

Non-industry participants included:

John O'Connell – Marine Extension Agent  
Logan Respass – Marine Extension Agent  
Diana Kile Gilbert – Aide to Congressman Ron Paul  
Leonard Lamar – County Commissioner  
Mike Haby – Extension Marine Business Specialist

Additional one-on-one contacts were conducted in Port Lavaca with Joe Nyguen and Lee Kalaczek.

*January 17, 2002* Contacts and discussions were conducted with Frank and Leslie "Bubba" Casterline in Fulton. Following this activity, a meeting was conducted with Wilma Anderson, Executive Director, Texas Shrimp Association in Aransas Pass. Travel then was conducted to Port Isabel where a formal meeting was conducted. Industry participants in this meeting included:

Greg Goga	Jim White
Ivo Goga	Charles Burnell
Everett Sagness	Mike Boudreaux
Greg Londrie	Harley Loundrie



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Non-industry participants were:

Edie Lopez -- NMFS Port Statistical Agent  
Tony Reisinger -- Marine Extension Agent  
Mike Haby -- Extension Marine Business Specialist  
Ralph Rayburn -- Sea Grant Associate Director

*January 18, 2002* Individual contacts were made at the Brownsville Shrimp Basin with:

Charles Burnell	Fred Feurtado
Jorge Gonzales	Julio Gonzales

Additional contacts were made in Port Isabel with Ray McLaughlin at Texas Pack Shrimp Processing. Contact was also made with Linwood LaBell.

*January 19, 2002* The economic scoping segment for Texas was completed and Dr. Travis was taken to the Harlingen Airport for departure.

Florida

*January 28, 2002* Efforts focused upon Key West. Industry contacts and meetings were conducted with:

Neal Maresca	Michael Sands
Larry Foltz	Marvin Hickman

Ed Smith also advised us to contact Capt. Mike Smith of the FV Haida and Capt. Scott of the FV Michael James. They were not aboard during our visit but will be contacted later.

*January 29, 2002* This day consisted of travel time to Fort Myers.

*January 30, 2002* Meetings were conducted with major fleet owners in Fort Myers. These industry representatives consisted of:

Dennis Henderson	Grant Erickson
Joe Villers	

*January 31, 2002* A meeting, to include lunch discussions, was conducted at the Tampa Shrimp Docks. Industry fleet owners included:

Sal Versaggi	Jack Collins
--------------	--------------

A tour was made of the FV Super Coon and discussions were conducted with her captain, Roy "Boo Boo".

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*February 1, 2002* The shrimp docks at Tarpon Springs were visited. John Williams, a fleet owner and seafood marketer, provided much information and insight. An attempt was made to meet with Karen Bell in Cortez, but scheduling conflicts led to the conclusion that Dr. Travis should meet up with her at a later date.

*February 4, 2002* A luncheon meeting was conducted with Bob Jones, Southeastern Fisheries Association, in Tallahassee. Travel was then conducted to Carrabelle where a meeting was held with Tim Sanders. The small boat docks were visited in Apalachicola where conferences were held with Walter Shell and Mike Holland.

*February 5, 2002* A small group of fishermen were assembled at Millender Seafood in Apalachicola. Participants in this economic meeting were:

Bruce Millender	Walter Ward
Smokey	Capt. Mark- FV Rhodney and Candy
Dacky Ward	Joe Parish
Billy Hicks	

A meeting transpired with Tommy Ward at 13-Mile Seafood and then additional meetings were conducted with Eugene Raffield and Edward Wood in Port St. Joe.

An evening meeting was conducted with George Knight in Apalachicola.

*February 6, 2006* Additional meetings were conducted with Vance Millender and Jim Lycett in Carrabelle. The scoping group then traveled to Tallahassee and terminated Florida efforts.

Louisiana

*February 11, 2002* During travel to Western Louisiana, a meeting was conducted in Baton Rouge with Benjamin Truong.

*February 12, 2002* Local captains were out shrimping in Cameron, Louisiana, thus a minimum of contacts was availed. A meeting was conducted with Don Bailey, a fleet owner and fish house operator. While in Western Louisiana, the opportunity to meet with Jack Hemmenway in Port Arthur, Texas became available. The team traveled to JBS Seafood and met with Mr. Hemmenway – a major fleet owner and processor.

*February 13, 2002* Meetings were conducted in Dulac, Louisiana with:

Bobby Samanie	Wayne Reddin
Andy Gibson	

Because of the Chinese New Year, Asian-American shrimp fishermen were not at the docks and could not be located.

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*February 14, 2002* Meetings with area fishermen were directed in the Bayou La Fourche area. In Galiano, discussions and insight were exchanged with:

Steven Charpentier

Scott St. Pierre

Contacts and economic discussions in Golden Meadow were conducted with:

Jimmy Martin

Herbert Lafonte

Shrimping industry members were contacted in Grande Isle. Discussions were exchanged with:

Irvin Richoux  
Dean Blanchard

Michael Frazier  
Jack La Fonte

Again celebration of the Chinese New Year precluded opportunities to confer with Asian American fishermen in the Bayou La Fourche area. A major concentration of Vietnamese shrimp fishermen are located in Fouchan, but the scoping team was not able to find representatives at the shrimp docks.

*February 16, 2002* With the assistance of Jay Boulet, NMFS Port Statistical Agent, a meeting was conducted in Harvey with Khoa Nguyen, a spokesperson for the Asian American community. Two other Vietnamese captains joined the discussions at Mr. Nhuyen's net shop.

Travel was then conducted to LaFitte where an economic meeting/luncheon was conducted with:

Byron Despaux

Ronald Dufrene

Travel to Yscloskey was executed where a meeting with Preston Saltalamechia was conducted.

A late night meeting was conducted with Peter Garcia, president of the Lake Pontchartrain Fishermen's Association.

*February 17, 2002* This portion of the Louisiana scoping efforts was completed. The investigators returned to their headquarters from New Orleans.

*February 25, 2002* An additional day was acquired for more Louisiana contacts. This effort was incorporated into the segment of our work associated with the Mississippi/Alabama effort. With the assistance of Jay Boulet, NMFS Port Statistical Agent, meetings were conducted with a number of representatives from the Asian American community.

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In Empire, Mr. and Mrs. Sau Lee met with us and provided contacts with two additional Vietnamese shrimp fishermen.

In Venice, we conducted a meeting with Hoa Ngo and his manager, Lorie.

In the southern New Orleans Metro, we met with 6 representative of the Vietnamese community. The spokesperson at this meeting was by Phong "Robert" Nguyen.

Mississippi/Alabama

*February 25, 2002* Completed meetings in Louisiana and traveled to Mobile, Alabama to begin economic efforts.

*February 26, 2002* Met with Ross Pritchard in Mobile and conducted economic meeting. Traveled to Bayou La Batre and met with David Robicheaux. Spent the greater part of the afternoon exchanging information and discussing economics.

*February 27, 2002* Met with Captain Charles King in Foley, Alabama. Traveled to Bon Secour and met with Chris and John Andrew Nelson.

*February 28, 2002* Conducted a meeting with 32 Asian American fishermen at the Vietnamese Assembly of God in Biloxi, Mississippi.

*March 1, 2002* Met with Steve Bosarge in Pascagoula, Mississippi and concluded economic efforts.

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APPENDIX 1  
Draft Survey Form

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**GULF SHRIMP VESSEL AND GEAR CHARACTERIZATION FORM**

Vessel ID: Coast Guard  or State Registration Number

1. What year did you purchase this vessel?
2. a. In 2001, was this vessel operated by: the owner ☐ a hired-captain ☐  
b. In 2001, what was the typical number of crew on the vessel, including captain?
3. In 2001, did you shrimp in Federal waters (i.e. the EEZ<sup>1</sup>) of the Gulf of Mexico?  
☐ Yes ☐ No
4. In 2001, what was the number of trips, days at sea, and gallons of fuel used by this vessel in the offshore (outside the COLREGS line or beach) and inshore (inside the COLREGS line or beach) Gulf shrimp fisheries?

	<u>Offshore</u>	<u>Inshore</u>
Number of Trips		
Days at Sea		
Gallons of Fuel		

5. In 2001, how many days at sea did this vessel operate in non-shrimp fisheries?  
 Days at sea
6. In 2001, please check the box by the gear type you primarily used to harvest shrimp.  
☐ Otter trawl ☐ Butterfly net ☐ Cast net  
☐ Skimmer net ☐ Wing net ☐ Roller frame  
☐ Other (please specify)

7. In 2001, for the type of nets you primarily used (options listed in table below), how many did you typically use, and what was their headrope length (in feet)?

TYPE	NUMBER OF NETS	HEADROPE LENGTH	TYPE	NUMBER OF NETS	HEADROPE LENGTH
2 Seam Balloon			Flat		
4 Seam Balloon			Western Jib		
Box			Add-on Bib		
Built-In Bib (e.g. Mongoose, Cobra, etc.)			Other (specify) <input type="text"/>		

<sup>1</sup>The EEZ portion of the fishery is from 9 miles outward off of the Texas and West Florida coasts, and from 3 miles outward off the coasts of Louisiana, Mississippi, and Alabama.

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8. In 2001, what type of material and mesh size were your shrimp nets typically made of?

TYPE	Mesh Size (inches)	TYPE	Mesh Size (inches)
Nylon		Poly	
Spectra		Other	

9. In 2001, what type of BRD (bycatch reduction device) did you typically use, if any?

☐ Jones-Davis      ☐ Fisheye      ☐ None  
☐ Other (please specify)

10. Please check the box by the type of TED (A, B, C, D, or E) you typically used in 2001. Refer to the diagrams of each type provided on the last page. Please provide additional detail on grid dimensions/style and opening type/size.

A. ☐ Single Grid Hard TED

Grid Size      ☐ Gulf Minimum (28"x28")  
                     ☐ Atlantic Minimum (30"x30")  
                     ☐ Other: length  width

Grid Style

☐ Bent Bar      ☐ Matagorda      ☐ Fixed Angle  
☐ Weedless      ☐ Georgia      ☐ Other

Opening Type

☐ Gulf Minimum (32"x10")      ☐ Leatherback  
☐ Atlantic Minimum (35"x12")      ☐ Double Cover  
☐ Other: dimensions

Flap Size

☐ Standard      ☐ No Flap Used      ☐ Double-Cover  
                     ☐ Short  
                     ☐ Long

B. ☐ Parker Soft TED

Opening Type

☐ Standard      ☐ Leatherback

C. ☐ Coulon TED

Opening size: Length  Width

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D. ☐ Hooped Hard TED

☐ NMFS TED Opening Type

☐ Gulf minimum (25"x25")

☐ Atlantic minimum (30"x30")

☐ Other: length ☐ width ☐

☐ Cameron TED Opening Type

☐ Gulf minimum (25"x25")

☐ Atlantic minimum (30"x30")

☐ Other: length ☐ width ☐

E. ☐ Other

Explain:

11. a. Was the TED you typically used in 2001 a bottom opening or top opening TED?

☐ Top opening

☐ Bottom opening

b. Did you use an accelerator funnel with your TED? ☐ Yes ☐ No



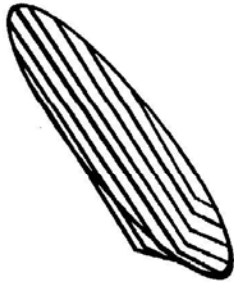
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12. In the list below, please check off the types of electronic equipment (either in the wheelhouse or mounted on the gear) that were on-board your vessel in 2001. If your vessel had more than one unit of a particular type of equipment, please write in the number of units. Note that this list contains types of equipment that may not be presently used in the Gulf shrimp fishery, but are used in other fisheries for which this type of information is being collected.

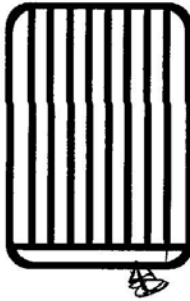
TYPE	#	TYPE	#	TYPE	#
Cell Phone		Loran		Net Pingers	
VHF Radio		Vessel Tracking System (VMS)		Net Height Sensor	
Radio Telephone		Radar		Door Transducer	
Single Sideband Radio		Gyro Compass		Headrope Transducer	
Satellite Phone		G.P.S.		Depth Sensor	
Fax		Auto Pilot		Net Width Sensor	
Plotter		Echo Sounder		Forward Scanning Headrope Sonar	
Computer		Direction Finder (Electronic Compass)		Temperature Profiling System	
Data Printer		Satellite Navigation System		Water Temperature Sensor	
Navigational Echo Sounder		Radio Direction Finder		Catch Monitor (Codend Sensor)	
Gyro Converter		Weather Satellite Receiver		Sonar (Single Direction)	
Doppler Log and Docking Sonar		Hull Mounted Hydrophone		Sonar (Multiple Direction)	
Bridge Watch		Wind Meter		Water Salinity Sensor	
Watch Receiver		Video Sounder		Net Speed Sensor	

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**Bent Bar**



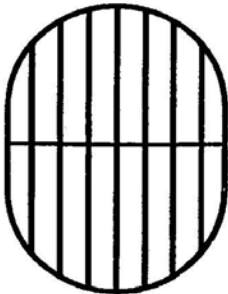
**Matagorda**



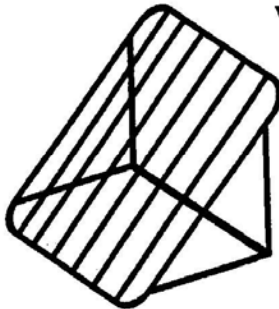
**Weedless**



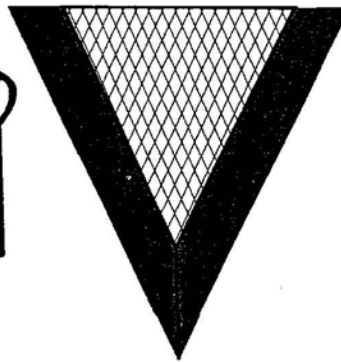
**Georgia**



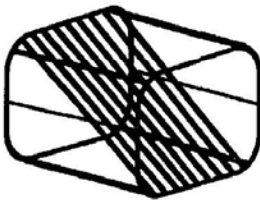
**Fixed Angle**



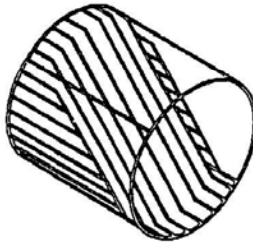
**Parker Soft**



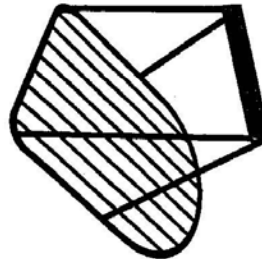
**NMFS**



**Cameron**



**Coulon**



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**K.1 52.222-38 Compliance with Veterans' Employment Reporting Requirements. (DEC 2001)**  
(Reference)

**K.2 52.203-2 CERTIFICATE OF INDEPENDENT PRICE DETERMINATION (APR 1985)**

(a) The offeror certifies that--

(1) The prices in this offer have been arrived at independently, without, for the purpose of restricting competition, any consultation, communication, or agreement with any other offeror or competitor relating to (i) those prices, (ii) the intention to submit an offer, or (iii) the methods or factors used to calculate the prices offered;

(2) The prices in this offer have not been and will not be knowingly disclosed by the offeror, directly or indirectly, to any other offeror or competitor before bid opening (in the case of a sealed bid solicitation) or contract award (in the case of a negotiated solicitation) unless otherwise required by law; and

(3) No attempt has been made or will be made by the offeror to induce any other concern to submit or not to submit an offer for the purpose of restricting competition.

(b) Each signature on the offer is considered to be a certification by the signatory that the signatory--

(1) Is the person in the offeror's organization responsible for determining the prices being offered in this bid or proposal, and that the signatory has not participated and will not participate in any action contrary to subparagraphs (a)(1) through (a)(3) of this provision; or

(2)(i) Has been authorized, in writing, to act as agent for the following principals in certifying that those principals have not participated, and will not participate in any action contrary to subparagraphs (a)(1) through (a)(3) of this provision\_\_\_\_\_

[insert full name of person(s) in the offeror's organization responsible for determining the prices offered in this bid or proposal, and the title of his or her position in the offeror's organization];

(ii) As an authorized agent, does certify that the principals named in subdivision (b)(2)(i) of this provision have not participated, and will not participate, in any action contrary to subparagraphs (a)(1) through (a)(3) of this provision; and

(iii) As an agent, has not personally participated, and will not participate, in any action contrary to subparagraphs (a)(1) through (a)(3) of this provision.

(c) If the offeror deletes or modifies subparagraph (a)(2) of this provision, the offeror must furnish with its offer a signed statement setting forth in detail the circumstances of the disclosure.

(End of provision)

**K.3 52.203-11 CERTIFICATION AND DISCLOSURE REGARDING PAYMENTS TO INFLUENCE CERTAIN FEDERAL TRANSACTIONS (APR 1991)**

(a) The definitions and prohibitions contained in the clause, at FAR 52.203-12, Limitation on Payments to Influence Certain Federal Transactions, included in this solicitation, are hereby incorporated by reference in paragraph (b) of this certification.

(b) The offeror, by signing its offer, hereby certifies to the best of his or her knowledge and belief that on or after December 23, 1989--

(1) No Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress,

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or an employee of a Member of Congress on his or her behalf in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment or modification of any Federal contract, grant, loan, or cooperative agreement;

(2) If any funds other than Federal appropriated funds (including profit or fee received under a covered Federal transaction) have been paid, or will be paid, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress on his or her behalf in connection with this solicitation, the offeror shall complete and submit, with its offer, OMB standard form LLL, Disclosure of Lobbying Activities, to the Contracting Officer; and

(3) He or she will include the language of this certification in all subcontract awards at any tier and require that all recipients of subcontract awards in excess of \$100,000 shall certify and disclose accordingly.

(c) Submission of this certification and disclosure is a prerequisite for making or entering into this contract imposed by section 1352, title 31, United States Code. Any person who makes an expenditure prohibited under this provision or who fails to file or amend the disclosure form to be filed or amended by this provision, shall be subject to a civil penalty of not less than \$10,000, and not more than \$100,000, for each such failure.

(End of provision)

**K.4 52.209-5 CERTIFICATION REGARDING DEBARMENT, SUSPENSION, PROPOSED DEBARMENT, AND OTHER RESPONSIBILITY MATTERS (DEC 2001)**

(a)(1) The Offeror certifies, to the best of its knowledge and belief, that--

(i) The Offeror and/or any of its Principals--

(A) Are / / are not / / presently debarred, suspended, proposed for debarment, or declared ineligible for the award of contracts by any Federal agency;

(B) Have / / have not / /, within a three-year period preceding this offer, been convicted of or had a civil judgment rendered against them for: commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, state, or local) contract or subcontract; violation of Federal or state antitrust statutes relating to the submission of offers; or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, tax evasion, or receiving stolen property; and

(C) Are / / are not / / presently indicted for, or otherwise criminally or civilly charged by a governmental entity with, commission of any of the offenses enumerated in paragraph

(a)(1)(i)(B) of this provision.

(ii) The Offeror has / / has not / /, within a three-year period preceding this offer, had one or more contracts terminated for default by any Federal agency.

(2) "Principals," for the purposes of this certification, means officers; directors; owners; partners; and, persons having primary management or supervisory responsibilities within a business entity (e.g., general manager; plant manager; head of a subsidiary, division, or business segment, and similar positions). THIS CERTIFICATION CONCERNS A MATTER WITHIN THE JURISDICTION OF AN AGENCY OF THE UNITED STATES AND THE MAKING OF A FALSE, FICTITIOUS, OR FRAUDULENT CERTIFICATION MAY RENDER THE MAKER SUBJECT TO PROSECUTION UNDER SECTION 1001, TITLE 18, UNITED STATES CODE.

(b) The Offeror shall provide immediate written notice to the Contracting Officer if, at any time prior to contract award, the Offeror learns that its

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certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

(c) A certification that any of the items in paragraph (a) of this provision exists will not necessarily result in withholding of an award under this solicitation. However, the certification will be considered in connection with a determination of the Offeror's responsibility. Failure of the Offeror to furnish a certification or provide such additional information as requested by the Contracting Officer may render the Offeror nonresponsible.

(d) Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render, in good faith, the certification required by paragraph (a) of this provision. The knowledge and information of an Offeror is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

(e) The certification in paragraph (a) of this provision is a material representation of fact upon which reliance was placed when making award. If it is later determined that the Offeror knowingly rendered an erroneous certification, in addition to other remedies available to the Government, the Contracting Officer may terminate the contract resulting from this solicitation for default.

(End of provision)

**K.5 52.215-6 PLACE OF PERFORMANCE BUSINESS (OCT 1997)**

(a) The offeror or respondent, in the performance of any contract resulting from this solicitation, /\_\_\_\_\_ intends, / \_\_\_\_\_, does not intend to use one or more plants or facilities located at a different address from the address of the offeror or respondent as indicated in this proposal or response to request for information.

(b) If the offeror or respondent checks "intends" in paragraph (a) of this provision, it shall insert in the following spaces the required information:

PLACE OF PERFORMANCE (STREET CITY, STATE, COUNTY, ZIP CODE)	NAME AND ADDRESS OF OWNER AND ADDRESS, OPERATOR OF THE PLANT OR FACILITY IF OTHER THAN OFFEROR OR RESPONDENT
_____	_____
_____	_____
_____	_____

(End of provision)

**K.6 52.219-1 SMALL BUSINESS PROGRAM REPRESENTATIONS (MAY 2002)**

(a)

- (1) The North American Industry Classification System (NAICS) code for this acquisition is 541720
- (2) The small business size standard is 500 employees
- (3) The small business size standard for a concern which submits an offer in its own name, other than on a construction or service contract, but which proposes to furnish a product which it did not itself manufacture, is 500 employees.

(b) Representations.

- (1) The offeror represents as part of its offer that it /\_ / is, /\_ / is not a small business concern.
- (2) [Complete only if the offeror represented itself as a small business concern in paragraph (b)(1) of this provision.] The offeror represents, for general statistical purposes, that it /\_ / is, /\_ / is not, a small disadvantaged business concern as defined in 13 CFR 124.1002.
- (3) [Complete only if the offeror represented itself as a small business concern in paragraph (b)(1) of this provision.] The

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- offeror represents as part of its offer that it /\_ / is, /\_ / is not a women-owned small business concern.
- (4) [Complete only if the offeror represented itself as a small business concern in paragraph (b)(1) of this provision.] The offeror represents as part of its offer that it [ ] is, [ ] is not a veteran-owned small business concern.
- (5) [Complete only if the offeror represented itself as a veteran-owned small business concern in paragraph (b)(4) of this provision.] The offeror represents as part of its offer that it [ ] is, [ ] is not a service-disabled veteran-owned small business concern.
- (6) ["Complete only if the offeror represented itself as a small business concern in paragraph (b)(1) of this provision."] The offeror represents, as part of its offer, that--
- (i) It /\_ / is, /\_ / is not a HUBZone small business concern listed, on the date of this representation, on the List of Qualified HUBZone Small Business Concerns maintained by the Small Business Administration, and no material change in ownership and control, principal office, or HUBZone employee percentage has occurred since it was certified by the Small Business Administration in accordance with 13 CFR part 126; and
- (ii) It /\_ / is, /\_ / is not a joint venture that complies with the requirements of 13 CFR part 126, and the representation in paragraph (b)(6)(i) of this provision is accurate for the HUBZone small business concern or concerns that are participating in the joint venture. [The offeror shall enter the name or names of the HUBZone small business concern or concerns that are participating in the joint venture: \_\_\_\_\_.] Each HUBZone small business concern participating in the joint venture shall submit a separate signed copy of the HUBZone representation.
- (c) Definitions. As used in this provision--
- "Service-disabled veteran-owned small business concern"--
- (1) Means a small business concern--
- (i) Not less than 51 percent of which is owned by one or more service-disabled veterans or, in the case of any publicly owned business, not less than 51 percent of the stock of which is owned by one or more service-disabled veterans; and
- (ii) The management and daily business operations of which are controlled by one or more service-disabled veterans or, in the case of a service-disabled veteran with permanent and severe disability, the spouse or permanent caregiver of such veteran.
- (2) Service-disabled veteran means a veteran, as defined in 38 U.S.C. 101(2), with a disability that is service-connected, as defined in 38 U.S.C. 101(16).
- "Small business concern," means a concern, including its affiliates, that is independently owned and operated, not dominant in the field of operation in which it is bidding on Government contracts, and qualified as a small business under the criteria in 13 CFR Part 121 and the size standard in paragraph (a) of this provision.
- "Veteran-owned small business concern" means a small business concern--
- (1) Not less than 51 percent of which is owned by one or more veterans (as defined at 38 U.S.C. 101(2)) or, in the case of any publicly owned business, not less than 51 percent of the stock of which is owned by one or more veterans; and
- (2) The management and daily business operations of which are controlled by one or more veterans.

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"Women-owned small business concern," means a small business concern--

- (1) Which is at least 51 percent owned by one or more women or, in the case of any publicly owned business, at least 51 percent of the stock of which is owned by one or more women; and
- (2) Whose management and daily business operations are controlled by one or more women.

(d) Notice.

- (1) If this solicitation is for supplies and has been set aside, in whole or in part, for small business concerns, then the clause in this solicitation providing notice of the set-aside contains restrictions on the source of the end items to be furnished.
- (2) Under 15 U.S.C. 645(d), any person who misrepresents a firm's status as a small, HUBZone small, small disadvantaged, or women-owned small business concern in order to obtain a contract to be awarded under the preference programs established pursuant to section 8(a), 8(d), 9, or 15 of the Small Business Act or any other provision of Federal law that specifically references section 8(d) for a definition of program eligibility, shall--
  - (i) Be punished by imposition of fine, imprisonment, or both;
  - (ii) Be subject to administrative remedies, including suspension and debarment; and
  - (iii) Be ineligible for participation in programs conducted under the authority of the Act.

(End of provision)

**K.7 52.222-25 AFFIRMATIVE ACTION COMPLIANCE (APR 1984)**

The offeror represents that (a) it /\_/ has developed and has on file, /\_/ has not developed and does not have on file, at each establishment, affirmative action programs required by the rules and regulations of the Secretary of Labor (41 CFR 60-1 and 60-2), or (b) it /\_/ has not previously had contracts subject to the written affirmative action programs requirement of the rules and regulations of the Secretary of Labor.

(End of provision)

**K.8 52.223-13 CERTIFICATION OF TOXIC CHEMICAL RELEASE REPORTING (AUG 2003)**

(a) Executive Order 13148, of April 21, 2000, Greening the Government through Leadership in Environmental Management, requires submission of this certification as a prerequisite for contract award.

(b) By signing this offer, the offeror certifies that--

- (1) As the owner or operator of facilities that will be used in the performance of this contract that are subject to the filing and reporting requirements described in section 313 of the Emergency Planning and Community Right-to-Know Act of 1986 (EPCRA) (42 U.S.C. 11023) and section 6607 of the Pollution Prevention Act of 1990 (PPA) (42 U.S.C. 13106), the offeror will file and continue to file for such facilities for the life of the contract the Toxic Chemical Release Inventory Form (Form R) as described in sections 313(a) and (g) of EPCRA and section 6607 of PPA; or
- (2) None of its owned or operated facilities to be used in the performance of this contract is subject to the Form R filing and reporting requirements because each such facility is exempt for at least one of the following reasons: [Check each block that is applicable.] [ ] (i) The facility does not manufacture, process, or otherwise

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use any toxic chemicals listed in 40 CFR 372.65; [ ] (ii) The facility does not have 10 or more full-time employees as specified in section 313(b)(1)(A) of EPCRA, 42 U.S.C. 11023(b)(1)(A); [ ] (iii) The facility does not meet the reporting thresholds of toxic chemicals established under section 313(f) of EPCRA, 42 U.S.C. 11023(f) (including the alternate thresholds at 40 CFR 372.27, provided an appropriate certification form has been filed with EPA); [ ] (iv) The facility does not fall within the following Standard Industrial Classification (SIC) codes or their corresponding North American Industry Classification System sectors:

- (A) Major group code 10 (except 1011, 1081, and 1094.
- (B) Major group code 12 (except 1241).
- (C) Major group codes 20 through 39.
- (D) Industry code 4911, 4931, or 4939 (limited to facilities that combust coal and/or oil for the purpose of generating power for distribution in commerce).
- (E) Industry code 4953 (limited to facilities regulated under the Resource Conservation and Recovery Act, Subtitle C (42 U.S.C. 6921, et seq.), or 5169, or 5171, or 7389 (limited to facilities primarily engaged in solvent recovery services on a contract or fee basis); or [ ] (v) The facility is not located in the United States or its outlying areas.

(End of provision)

(a) Submission of this certificate is a prerequisite for making or entering into this contract imposed by Executive Order 12969, August 8, 1995.

(b) By signing this offer, the offeror certifies that--

(1) As the owner or operator of facilities that will be used in the performance of this contract that are subject to the filing and reporting requirements described in section 313 of the Emergency Planning and Community Right-to-Know Act of 1986 (EPCRA) (42 U.S.C. 11023) and section 6607 of the Pollution Prevention Act of 1990 (PPA) (42 U.S.C. 13106), the offeror will file and continue to file for such facilities for the life of the contract the Toxic Chemical Release Inventory Form (Form R) as described in sections 313(a) and (g) of EPCRA and section 6607 of PPA; or

(2) None of its owned or operated facilities to be used in the performance of this contract is subject to the Form R filing and reporting requirements because each such facility is exempt for at least one of the following reasons: (Check each block that is applicable.)

/\_/ (i) The facility does not manufacture, process, or otherwise use any toxic chemicals listed under section 313(c) of EPCRA, 42 U.S.C. 11023(c);

/\_/ (ii) The facility does not have 10 or more full-time employees as specified in section 313(b)(1)(A) of EPCRA, 42 U.S.C. 11023(b)(1)(A);

/\_/ (iii) The facility does not meet the reporting thresholds of toxic chemicals established under section 313(f) of EPCRA, 42 U.S.C. 11023(f) (including the alternate thresholds at 40 CFR 372.27, provided an appropriate certification form has been filed with EPA);

/\_/ (iv) The facility does not fall within Standard Industrial Classification Code (SIC) major groups 20 through 39 or their corresponding North American Industry Classification System (NAICS) sectors 31 through 33; or

/\_/ (v) The facility is not located in the United States or its outlying areas.

(End of provision)



**SECTION L**  
**INSTRUCTIONS, CONDITIONS, AND NOTICES TO OFFERORS**

**L.1 52.252-1 SOLICITATION PROVISIONS INCORPORATED BY REFERENCE (FEB 1998)**

This solicitation incorporates one or more solicitation provisions by reference, with the same force and effect as if they were given in full text. Upon request, the Contracting Officer will make their full text available. The offeror is cautioned that the listed provisions may include blocks that must be completed by the offeror and submitted with its quotation or offer. In lieu of submitting the full text of those provisions, the offeror may identify the provision by paragraph identifier and provide the appropriate information with its quotation or offer. Also, the full text of a solicitation provision may be accessed electronically at this/these address(es): <http://www.arnet.gov/far/>  
(End of provision)

**L.2 52.204-6 DATA UNIVERSAL NUMBERING SYSTEM (DUNS) NUMBER (OCT 2003)**

(a) The offeror shall enter, in the block with its name and address on the cover page of its offer, the annotation "DUNS" or "DUNS+4" followed by the DUNS number or "DUNS+4" that identifies the offeror's name and address exactly as stated in the offer. The DUNS number is a nine-digit number assigned by Dun and Bradstreet, Inc. The DUNS+4 is the DUNS number plus a 4-character suffix that may be assigned at the discretion of the offeror to establish additional CCR records for identifying alternative Electronic Funds Transfer (EFT) accounts (see Subpart 32.11) for the same parent concern.

(b) If the offeror does not have a DUNS number, it should contact Dun and Bradstreet directly to obtain one.

(1) An offeror may obtain a DUNS number--

(i) If located within the United States, by calling Dun and Bradstreet at 1-866-705-5711 or via the Internet at <http://www.dnb.com/> or

(ii) If located outside the United States, by contacting the local Dun and Bradstreet office.

(2) The offeror should be prepared to provide the following information:

(i) Company legal business name.

(ii) Tradestyle, doing business, or other name by which your entity is commonly recognized.

(iii) Company physical street address, city, state and Zip Code.

(iv) Company mailing address, city, state and Zip Code (if separate from physical).

(v) Company telephone number.

(vi) Date the company was started.

(vii) Number of employees at your location.

(viii) Chief executive officer/key manager.

(ix) Line of business (industry).

(x) Company Headquarters name and address (reporting relationship within your entity).

(End of provision)

**L.3 1352.215-71 PROPOSAL PREPARATION (MARCH 2000)**

**a. General Instructions**

Proposals are expected to conform to solicitation provisions and be prepared in accordance with this section. To aid in evaluation, the proposal shall be clearly and concisely written as well as being neat, indexed (cross-indexed as appropriate) and logically assembled. All pages of each part shall be appropriately numbered and identified with the name of the offeror, the date, and the solicitation number.

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**INSTRUCTIONS, CONDITIONS, AND NOTICES TO OFFERORS**

The offeror shall submit one original of their proposal, marked as such, and 3 copies. Each volume shall be clearly marked by volume number and title.

b. Overall Arrangement Of Proposal

(1) VOLUME I BUSINESS PROPOSAL

- (A) Volume I, Offer and Other Documents, consists of the actual offer to enter into a contract to perform the desired work. It also includes required representations, certifications, and acknowledgments; justifications for noncompetitive proposed subcontracts; identification of technical data to be withheld; and any other administrative information.
- (B) Format and Content. Volume I, Offer and Other Documents, shall include the following documents (in the order listed):

(1) Proposal Form

- (i) Use of the Form - The Proposal Form (Standard Form 33 or 1449), is to be executed fully and used as the cover sheet (or first page) of Volume I. Include three (3) originally signed copies of the form in the Original Volume I.
- (ii) Acceptance Period - The acceptance period entered on the Proposal Form by the offeror shall not be less than that prescribed in the solicitation which shall apply if no other period is offered.
- (iii) Signature Authority - The person signing the Proposal Form must have the authority to commit the offeror to all of the provisions of the proposal, fully recognizing that the Government has the right, by terms of the Solicitation, to make an award without further discussion if it so elects.

(2) VOLUME II TECHNICAL PROPOSAL

(A) General

- (1) Volume II - Technical Proposal consists of the offeror's outline addressing the technical and management aspects of the acquisition. It should indicate your company's capabilities and the means to be used to satisfy the requirements of the Statement of Work. It will be evaluated in accordance with the criteria contained in Part II Section M and it should be specific and complete in every detail. The proposal should be practical and be prepared simply and economically, providing straightforward, concise delineation of what it is the offeror will do to satisfy the requirements of the Statement of Work.
- (2) In order that the Technical Proposal may be evaluated strictly on the merit of the material submitted, no contractual price information is to be included.
- (3) The proposal shall not merely offer to perform work in accordance with the scope of work, but shall outline the actual work proposed as specifically as practical. The Statement of Work reflects the problems and objective of the program under consideration; therefore, repeating the Scope of Work without sufficient elaboration will not be acceptable.
- (4) The proposal shall be typed, double-spaced, with one inch margins, using elite font, 12 pitch type (or equivalent) and printed, unreduced in size, on 8-1/2" by 11" paper, not exceeding 50 pages, single sided, exclusive of resumes and related corporate

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experience. Any pages in excess of 50 will be disregarded, and will not be included in the proposal evaluation.

- (B) Format and Content. Volume II, Technical Proposal, shall include the following components:

1. Table of Contents
2. List of Tables and Figures
3. Technical Summary
4. Technical Discussion
5. Technical Exceptions and Deviations

These major headings may be subdivided or supplemented by the offeror as appropriate.

- (1) Technical Summary. This short section shall contain the proposed general approaches toward performing the Statement of Work and an outline of any difficulties or problems anticipated.
- (2) Technical Discussion. This section shall contain the major portion of the Technical Proposal. It should clearly address each of the Technical Proposal evaluation criteria in Section M, and at a minimum cover the subordinate factors or subcriteria listed thereunder, if any. It should be presented in as much detail as practical and include principles and techniques which may be applied in performing the work, and an explanation of the various methods considered and substantiation of those selected.
- (3) Summary of Exceptions and Deviations. This section shall identify and explain any exceptions or deviations taken or conditional assumptions made with respect to the technical requirements of the solicitation.

- (C) Specific areas to be addressed:

- (1) First-hand knowledge of and experience in developing and fielding socioeconomic surveys.
- (2) First-hand knowledge of and experience in working with the commercial fishing industry, particularly the South Atlantic shrimp fishery.
- (3) Knowledge of sampling theory/design, descriptive, and inferential statistics.
- (4) Experience in conducting socioeconomic research on the South Atlantic shrimp fishery.
- (5) Previous performance under other DOC/NOAA/NMFS contracts/purchase orders.
- (6) Experience in design, development and maintenance of databases designed for scientific research purposes.
- (7) Knowledge of and experience with the OMB/PRA approval process for data collection programs.

(3) VOLUME III - PRICE PROPOSAL

- (a) Price proposals must generally adhere to the pricing structure established in Section B, Schedule of Prices. Each offeror's price proposal must be based on the offeror's own technical proposal, the Government's specifications, and other contractual requirements. If the prices to be used are based on a published price list, or catalog, the offeror shall so state, and provide a copy of the document with their price proposal. If the prices are to be based on established market price, not otherwise published, or are prices applicable only to the proposed contract, the offeror shall so state.

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- (b) The Government expects that this contract will be awarded based upon adequate price competition. However in order to determine the prices are fair and reasonable, the Government reserves the right to request the offeror provide cost breakdown to support proposed prices. Information to support unit prices should include, but not be limited to, the following:
- (1) Salary/wage information with associated payroll expenses, for personnel to be used in performance of the contract;
  - (2) Cost for equipment, supplies, and consumable materials;
  - (3) A breakout of related support costs, such as equipment maintenance, rental, transportation, etc.;
  - (4) Overhead costs;
  - (5) General Administrative expenses
  - (6) Profit

**L.4 1352.215-73 INQUIRIES (MARCH 2000)**

Offerors must submit all questions concerning this solicitation in writing to the Contracting Officer. They must be received no later than fifteen calendar days after the date of this solicitation. All responses to the questions will be made in writing and included in an amendment to the solicitation.

**L.5 52.216-1 TYPE OF CONTRACT (APR 1984)**

The Government contemplates award of a Firm Fixed Price contract resulting from this solicitation.

(End of provision)

**L.6 1352.233-71 SERVICE OF PROTESTS (MARCH 2000)**

An agency protest may be filed with either (1) the Contracting Officer, or (2) at a level above the Contracting Officer, with the agency Protest Decision Authority. See 64 Fed. Reg. 16,651 (April 6, 1999) (Internet site: <http://oamweb.osc.doc.gov/conops/reflib/alp1296.htm>) for the procedures for filing agency protests at the level above the Contracting Officer (with the Protest Decision Authority).

Agency protests filed with the Contracting Officer shall be sent to the following address:

U.S. Department of Commerce, NOAA  
Central Administrative Support Center  
Acquisitions Management Division  
601 E. 12th Street, Room 1756 Kansas City, MO 64106  
Attn: Sharon K. Clisso, Contracting Officer  
Fax: 816-426-7530

If a protest is filed with either the Protest Decision Authority, or with the General Accounting Office (GAO), a complete copy of the protest (including all attachments) shall be served upon both the Contracting Officer and Contract Law Division of the Office of the General Counsel within one day of filing with the Protest Decision Authority or with GAO. Service upon the Contract Law Division shall be made, as follows:

U.S. Department of Commerce  
Office of the General Counsel  
Contract Law Division--Room 5893  
Herbert C. Hoover Building  
14th Street and Constitution Avenue, N.W.  
Washington, D.C. 20230.  
Attn: Mark Langstein, Esquire  
FAX: (202) 482-5858

**SECTION L**  
**INSTRUCTIONS, CONDITIONS, AND NOTICES TO OFFERORS**

**L.7 1352.252-71 REGULATORY NOTICE (MARCH 2000)**

Offerors are advised that certain provisions and clauses identified with a Commerce Acquisition Regulation (CAR) notation for identification purposes, have not yet been incorporated into the CAR. However, all of these items are binding for this acquisition and will eventually be contained in the CAR at Part 13 of Title 48 of the Code of Federal Regulations.

**SECTION M**  
**EVALUATION FACTORS FOR AWARD**

**M.1 1352.215-75 BASIS FOR EVALAUTION (MARCH 2000)**

a. This is a best value, competitive requirement. Award will be made to the offeror(s): whose offer conforms to the solicitation requirements; who is determined responsible in accordance with the Federal Acquisition Regulations (FAR) by possessing the financial and other capabilities to fulfill the requirements of the contract; and whose proposal is judged, by an integrated assessment of price and other evaluation factor(s) listed in SECTION M, to be the most advantageous to the Government. The Government will use the best value trade-off process in determining which offer is in the best interest of the Government, in accordance with FAR 15.101-2.

b. The Government intends to award one contract(s) from this solicitation. The Government reserves the right not to award a contract depending on the quality of the proposal(s) submitted and the availability of funds.

(1) Evaluation of Proposals

A. Initial Evaluation of Proposals

An evaluation plan has been established to evaluate the factors set forth in the Evaluation Criteria stated below, and all offers received will be evaluated in accordance with the established evaluation plan. The Government reserves the right to make an award without discussion based solely upon initial proposals. Therefore, Offerors should ensure that their initial proposal constitutes their best offer in terms of both price and the technical solution being proposed. The Contracting Officer will establish a competitive range comprised of the most highly rated proposals. If the Contracting Officer determines that the number of proposals that would otherwise be in the competitive range exceeds the number at which an efficient competition can be conducted, the Contracting Officer may limit the number of proposals in the competitive range to the greatest number that will permit an efficient competition among the most highly rated proposals. Only those offerors in the competitive range will be offered an opportunity to participate further in the procurement.

(2) Discussion/Final Proposal Revisions

The Contracting Officer may engage in discussions with all offerors in the competitive range in accordance with FAR 15.306. At the conclusion of the discussions, a final common cut-off date which allows a reasonable opportunity for submission of written final proposal revisions will be established. Those offerors selected to remain in the competitive range will be notified to submit Final Proposal Revisions.

(3) Final Evaluation of Offers

A final proposal evaluation will be performed after receipt of Final Proposal Revisions.

**M.2 1352.215-76 EVALUATION CRITERIA (MARCH 2000)**

(a) All evaluation factors other than cost or price are equally important than cost or price.

In addition to cost or price, proposals will also be evaluated based on the following factors, listed in descending order of importance. In addressing the evaluation factors below, the offeror shall demonstrate

Factor 1 -- First-hand knowledge of and experience in developing and fielding socioeconomic surveys.

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**EVALUATION FACTORS FOR AWARD**

Factor 2 -- First-hand knowledge of and experience in working with the Commercial fishing industry, particularly the South Atlantic shrimp Fishery.

Factor 3 -- Knowledge of sampling theory/design, descriptive, and inferential statistics.

Factor 4 -- Experience in conducting socioeconomic research on the South Atlantic shrimp fishery.

Factor 5 -- Previous performance under other DOC/NOAA/NMFS Contracts/purchase orders.

Factor 6 -- Experience in design, development and maintenance of data Bases designed for scientific research purposes.

Factor 7 -- Knowledge of and experience with the OMB/PRA approval process for data collection programs.

(b) Cost/Price Evaluation

1. The proposed prices/costs will be evaluated but not scored. The cost evaluation will determine whether the proposed costs are realistic, complete, and reasonable in relation to the solicitation requirements. Proposed costs must be entirely compatible with the technical proposal.
2. The Government may use the results of cost/price realism analysis to adjust the offeror's proposal to a most probable cost to the Government. This may include information from a government auditing agency, Government technical personnel, and other sources.
3. Although price/cost is the least important evaluation factor, it will not be ignored. The degree of importance of the proposed price/cost will increase the degree of equality of the proposals in relation to the other factors on which selection is to be based.
4. The Government reserves the right to make an award to other than the lowest priced offeror or to the offeror with the highest technical score if the Contracting Officer determines that to do so would result in the best value to the Government.